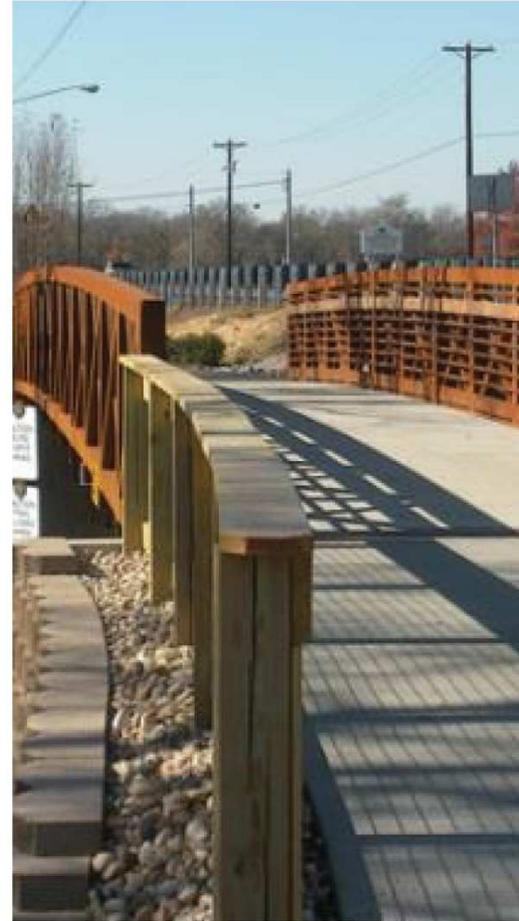
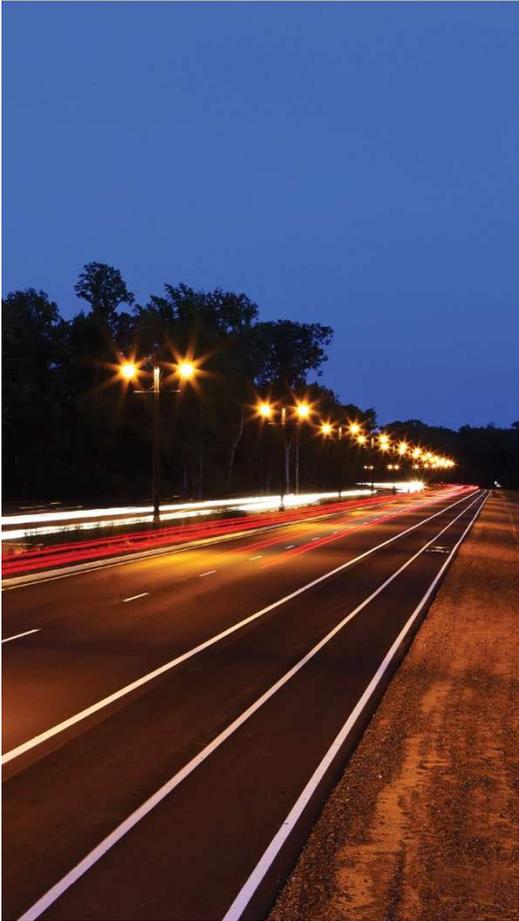


2016 TDOT Local Programs Construction Phase Overview





Important TDOT Approval Documents

Notice to Proceed with Construction Phase

Sixth Edition, March 2016

Local Government Guidelines for the Management of
Federal and State Funded Transportation Projects

8.2 CONSTRUCTION PHASE PROCEDURES

At this point, the pre-construction activities are complete and the LG shall not proceed with construction phase activities until the Notice to Proceed is received.

NOTICE TO PROCEED WITH THE FUNDED

CONSTRUCTION PHASE

OF PROJECT DEVELOPMENT

PIN:

FEDERAL PROJECT NUMBER:

STATE PROJECT NUMBER:

ROUTE (STREET NAME):

FROM:

TO:

CITY:

COUNTY:

REGION:

Effective Date:

Date of Transmittal:

This letter serves as your official **Notice to Proceed** with the above referenced phase of work for the subject project. The Local Government shall perform this phase of project development in accordance with the Local Government Guidelines provided on the Local Program Development Office website at <http://www.tn.gov/tdot/section/local-programs>. **Any work performed ahead of a Notice to Proceed's Effective Date will not be reimbursed.**

You may procure, in accordance with law, a consulting engineering firm to do all phases of construction at this time. Please refer to Section 1.6 of the Local Government Guidelines for guidance on consultant selection, if needed. Please provide a copy of the executed contract with the consultant and a copy of the notice sent to the consultant indicating the date work was authorized on the phase of the project mentioned above. These documents should be addressed to Manager, Local Program Development Office and sent by email to Local.Programs@tn.gov. **Note: If the person in responsible charge for this phase of the project has changed since Form 3-1 (Project Initiation Form) was submitted, the Local Government shall resubmit the responsible charge page (Form 1-1) at this time to the Local Programs Development Office at the email below.**

If you have questions or concerns regarding this matter, please direct them to Kip Mayton at 615.741.5314 in the Local Programs Development Office. You may contact us by email at: Local.Programs@tn.gov.

Figure 8-2 – NTP with Construction Phase

Pre-Construction and Construction Procedures



Sixth Edition, March 2016

Local Government Guidelines for the Management of Federal and State Funded Transportation Projects

CHAPTER 8 - PRE-CONSTRUCTION AND CONSTRUCTION PROCEDURES

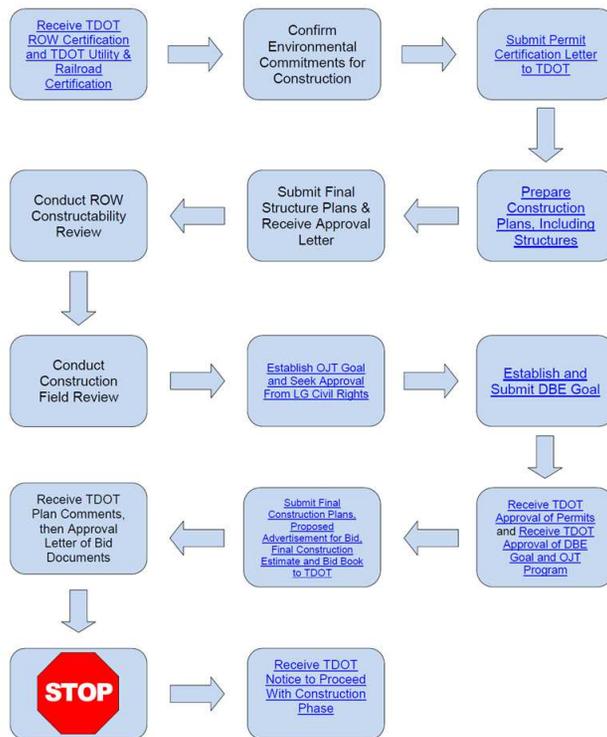


Figure 8-1 – Pre-Construction & Construction Flow Chart



Pre-Construction and Construction Procedures

Sixth Edition, March 2016

Local Government Guidelines for the Management of
Federal and State Funded Transportation Projects

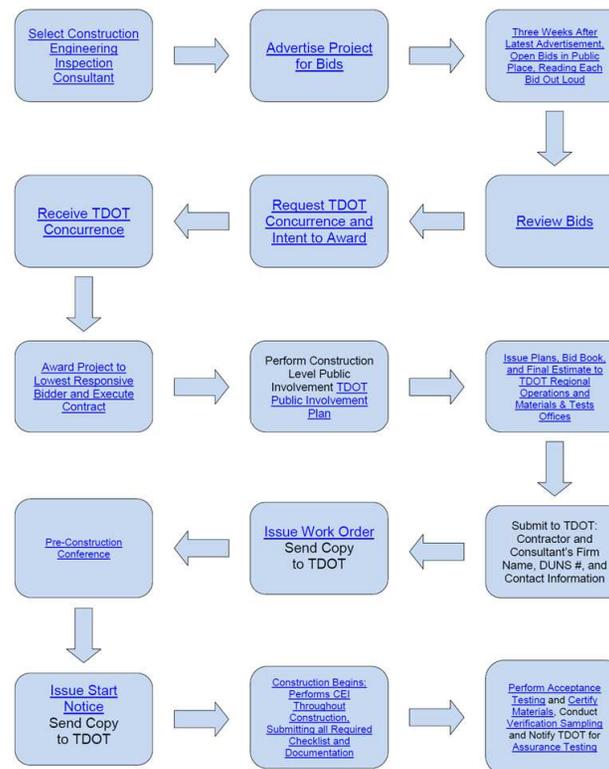


Figure 8-1 – Pre-Construction & Construction Flow Chart (continued)



Pre-Construction and Construction Procedures

Sixth Edition, March 2016

Local Government Guidelines for the Management of
Federal and State Funded Transportation Projects

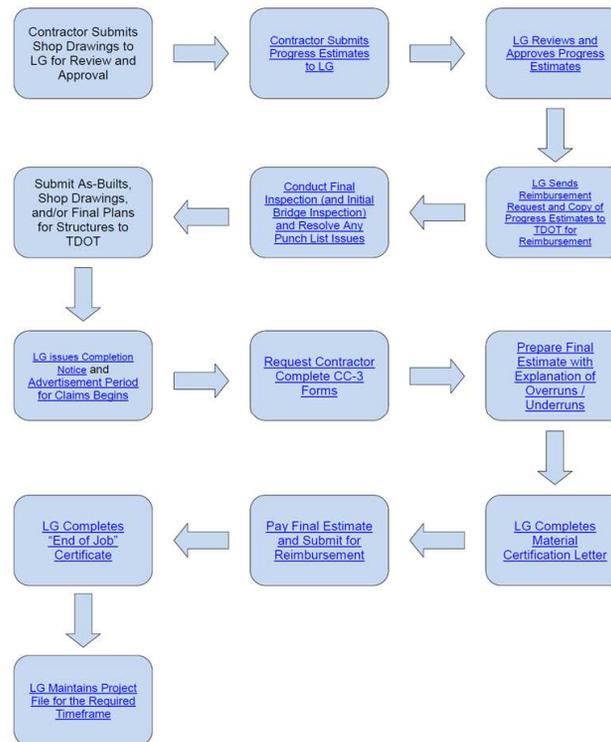


Figure 8-1 – Pre-Construction & Construction Flow Chart (continued)



Pre-Construction and Construction Procedures

- Refer to Section 1.6 for information regarding selection of a consultant for the CEI portion of the project.
- A project shall be advertised one time at least 21 calendar days prior to the public bid opening (23 CFR 635.112).
- The advertisement shall be made in a newspaper published in:
 - The county where the money is to be expended (If there is no newspaper in the county where the work is being done, the advertisement shall be made in some newspaper in an adjacent county),
 - In that grand division of the state where the work is being done (T.C.A. 54-5-114) and
 - A local minority newspaper (a list of those newspapers can be provided by TDOT Civil Rights Office).
- The advertisement will state when and where the sealed bids are to be received.
- The TDOT provided Bid Advertisement Template (Form 8-3) is available for LG reference.



Pre-Construction and Construction Procedures

- For all FHWA projects, bidding opportunities on a nondiscriminatory basis shall be afforded to all qualified bidders regardless of state boundaries, race, sex, color, or national origin. The Local Government shall comply with the standard USDOT Title VI Assurances by inclusion of the following language in the solicitations for bids:

“The (Local Government) in accordance with Title VI of the Civil Rights Act of 1964, 78 Stat. 252, 42 U.S.C. 2000d to 2000d-4 and Title 49, Code of Federal Regulations, Department of Transportation, subtitle A, Office of the Secretary, Part 21, nondiscrimination in federally assisted programs of the Department of Transportation issued pursuant to such Act, hereby notifies all bidders that it will affirmatively insure that in any contract entered into pursuant to this advertisement, disadvantaged business enterprises will be afforded full opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color or national origin in consideration for an award.”



Pre-Construction and Construction Procedures

Who Can Bid?

- All contractors must be on TDOT's pre-qualified list
- Contractors must use and only use the name as shown on pre-qualification records
- All sub-contractors must be on TDOT's pre-qualified list before beginning any work
- Bid book and bid form must be marked VOID if sold to non-prequalified contractors or those pending qualification



Pre-Construction and Construction Procedures

- Please be aware that TDOT requires all PRIME contractors (except mowing and litter removal contractors) to be licensed with the Tennessee Department of Commerce and Insurance, Board for Licensing Contractors.
- For Federally Funded Contracts, the Contractors will not be required to have a license to bid. However, prior to recommending award of the Contract, the Local Government will confirm that the lowest responsible bidder is licensed. The Contractor will be considered for award for twenty-one (21) days after the letting date (bid submittal). If the contractor does not have a license, on or before the 21 days, the contractor will be considered non-responsive, and the next lowest responsible bidder will be considered for award.
- For more information on obtaining a Contractor's License please visit the Board for Licensing Contractors website at the following:
<http://tn.gov/commerce/section/contractors-home-improvement>



Pre-Construction and Construction Procedures

- Title 48 of Tenn. Code Ann. requires all contractors and subcontractors that are domestic or foreign Corporations, Limited Liability Companies, Limited Partnerships, or Limited Liability Partnerships to be in good standing with the Secretary of State. This includes being duly incorporated, authorized to transact business, and/or in compliance with other requirements as detailed by the Secretary of State. Please contact the Secretary of State should you have any questions at (615) 741-2286 or visit http://www.tn.gov/sos/bus_svc/index.htm.
- TDOT will not execute any contracts or approve subcontracts with contractors that are domestic or foreign Corporations, Limited Liability Companies, Limited Partnerships, or Limited Liability Partnerships, who are not in good standing with the Secretary of State (i.e. have a valid Certificate of Existence/Authorization).



Pre-Construction and Construction Procedures

- Prior to opening bids, the Local Government shall review the Contractors to determine their prequalification and licensure status (non federal funded only).
- If a bidder is not currently prequalified or properly licensed (non federal funded), the bid should remain sealed.
- All bids are to be opened publicly and read aloud either item-by-item, or by total amount.
- If a bid is not read, the bidder is to be identified and the reason for not reading the bid announced (23 CFR 635.113).



Pre-Construction and Construction Procedures

- A bid may only be awarded to the lowest responsive bidder (23 CFR 635.114). The “Construction Advertising and Award Checklist” (Form 8-4) shall be completed, signed, and submitted with the Local Government’s letter indicating its intent to award to the low bidder.
- The Local Government shall review the apparent lowest responsive bidder’s proposal to ensure the bid is responsive and all applicable signatures and bonds are included. Bids shall be reviewed in accordance with the TDOT Policy No. 355-02 Awards of Construction Contracts. Additional FHWA guidance for reviewing bids can be found at:

<http://www.fhwa.dot.gov/programadmin/contracts/index.cfm>



Reasons for not Awarding a Bid

- Failure to sign the bid
- Failure to furnish the required Proposal Bond/Guarantee
- Failure to include a unit bid price for each item
- Failure to include a total amount for the bid
- Failure to prepare the bid in ink
- Failure to submit a non-collusion affidavit
- Failure to commit to the achievement of the DBE contract goals or demonstrate good faith efforts to do so, or
- Inclusion of conditions or qualifications not provided for in the specifications



Pre-Construction and Construction Procedures

- Reasons for not awarding a bid include the bid being unresponsive, often called an irregular bid, or if the bidder is determined to be “not responsible”. The difference between a responsive bid and responsible bidder is that:
 - A responsive bid is one that meets all the requirements of the advertisement and proposal, while
 - A responsible bidder is one who is physically organized and equipped with the financial wherewithal to undertake and complete the contract.



Pre-Construction and Construction Procedures

- The Local Government shall provide the checklist, a bid tabulation of at least the three (3) lowest bidders (or all bids if fewer than three (3) are submitted), line item-by-line item, including the engineers estimate that matches the schedule of values for reviewing bids. When more than three bids are received, the total amount of all but the three lowest bids must be submitted. All bids shall be reviewed to determine if they are unbalanced, which is defined as:
 - A mathematically unbalanced bid is a bid that contains lump sum or unit bid items that do not reasonably reflect the actual costs (plus reasonable profit, overhead costs, and other indirect costs) to construct the item;
 - A materially unbalanced bid is a bid that generates reasonable doubt that award to that bidder would result in the lowest ultimate cost to the government.



Unbalanced Bid Example

Original Bid

Item No.	Item Description	Quantity	Unit	Estimate		Contractor A		Contractor B	
				Unit Price	Extension	Unit Price	Extension	Unit Price	Extension
201-01	CLEARING AND GRUBBING	1	LS	\$2,000.00	\$2,000.00	\$28,000.00	\$28,000.00	\$3,000.00	\$3,000.00
203-01	ROAD & DRAINAGE EXCAVATION (UNCLASSIFIED)	100	CY	\$15.00	\$1,500.00	\$14.50	\$1,450.00	\$16.00	\$1,600.00
303-01	MINERAL AGGREGATE, TYPE A BASE, GRADING D	1500	TON	\$20.00	\$30,000.00	\$2.00	\$3,000.00	\$19.00	\$28,500.00
				\$33,500.00		\$32,450.00		\$33,100.00	

Corrected for Quantity Error

Item No.	Item Description	Quantity	Unit	Estimate		Contractor A		Contractor B	
				Unit Price	Extension	Unit Price	Extension	Unit Price	Extension
201-01	CLEARING AND GRUBBING	1	LS	\$2,000.00	\$2,000.00	\$28,000.00	\$28,000.00	\$3,000.00	\$3,000.00
203-01	ROAD & DRAINAGE EXCAVATION (UNCLASSIFIED)	100	CY	\$15.00	\$1,500.00	\$14.50	\$1,450.00	\$16.00	\$1,600.00
303-01	MINERAL AGGREGATE, TYPE A BASE, GRADING D	750	TON	\$20.00	\$15,000.00	\$2.00	\$1,500.00	\$19.00	\$14,250.00
				\$18,500.00		\$30,950.00		\$18,850.00	



Pre-Construction and Construction Procedures

- Other factors that a bid analysis may consider include:
 - Number of bids received
 - Distribution or range of the bids
 - Identity and geographic location of the bidders
 - Urgency of the project
 - Current market conditions and workload
 - Comparison of bid prices with similar projects recently let
 - Justification for significant bid price differences
 - Potential for savings if the project is re-advertised
 - Other factors as warranted



Pre-Construction and Construction Procedures

- Once the Local Government has reviewed the bids, the Local Government Official shall submit all of the following documents to TDOT for review. (TDOT will not review unless all documents are submitted):
 - A completed Form 8-4
 - An electronic copy of the bid tabulations (Excel™ spreadsheet comparing bids received)
 - Documentation certifying that the bids have been reviewed and found responsive
 - A letter requesting concurrence in the decision to award signed by the Local Government Official or to reject the bids including the necessary explanations for the request made
 - A PDF of the proposal contract for the apparent low bidder
 - DBE Award Information, if applicable (Form 8-5)
- **TDOT will not review the bid tabulations without the required checklist.**
- This information shall be submitted to the Local Programs Development Office by electronic means (email to Local.Programs@tn.gov) and shall be transmitted by that office to TDOT's Construction Office.

Pre-Construction and Construction Procedures



Local Government Guidelines Form 8-4
March 1, 2016

Construction Advertising and Award Checklist

PIN:
County:
Federal Project No.:
State Project No.:

The following checklist is intended to serve as a guide to assist the Local Government for advertising and award of the Contract. **This Checklist shall be submitted when requesting TDOT Concurrence in AWARD.**

	YES	NO	COMMENTS
Was the Advertisement for bid in the newspapers at least 3 weeks prior to the public bid opening date?	<input type="checkbox"/>	<input type="checkbox"/>	Date of advertisement:
Did the advertisement state the date, time, and location of public bid opening?	<input type="checkbox"/>	<input type="checkbox"/>	Date of bid opening: Location:
Were bids read aloud at the bid opening?	<input type="checkbox"/>	<input type="checkbox"/>	Reason for not reading aloud:
If not, was the bidders name read and the reason for not reading aloud stated publicly?	<input type="checkbox"/>	<input type="checkbox"/>	
Were only pre-qualified bidders read?	<input type="checkbox"/>	<input type="checkbox"/>	
If addendums were issued during the advertisement period, were they acknowledged by the bidders?	<input type="checkbox"/>	<input type="checkbox"/>	
Were the bids reviewed for responsiveness and irregularities in accordance with guidelines?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the DBE goal been met (must demonstrate within 3 days of bid opening)?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the lowest responsive bidder recommended for award?	<input type="checkbox"/>	<input type="checkbox"/>	If not, why:
Is TDOT provided an electronic bid tabulation of the three lowest bidders at least 14 days prior to the end of award period	<input type="checkbox"/>	<input type="checkbox"/>	Date to TDOT for concurrence: Date of award closing :
Is the pre-bid estimate with quantities included?	<input type="checkbox"/>	<input type="checkbox"/>	
Is a request for award or rejection included?	<input type="checkbox"/>	<input type="checkbox"/>	
Has a qualified CEI firm been selected properly and with the necessary information submitted to TDOT (or other approved by TDOT)?	<input type="checkbox"/>	<input type="checkbox"/>	

I certify that that ALL necessary requirements have been met.

Signature

Date



Pre-Construction and Construction Procedures

- The TDOT Construction Office and TDOT Estimating and Bid Analysis Office will review the bid information and if acceptable, will concur in the intent to award the contract to the lowest responsive bidder. If the Local Government determines that it is not in the best interest of the public to award the job, it shall make such statement and request TDOT's concurrence in its decision to reject all bids. Award or rejection of a contract must be within the time period specified in the proposal as complying with local requirements. The Local Government shall submit to TDOT the request to award or reject the bids at least fifteen (15) calendar days prior to the local deadline for awarding the project.
- In addition, if the Local Government elects to award the project, it shall submit with the bid tabulations the names and qualifications of the CEI firm and the individuals directly responsible for oversight and inspection of the actual construction of the project, including the Local Government Project Supervisor and all inspectors.



Pre-Construction and Construction Procedures

- If a contract proposal contains a DBE Goal (TDOT SP 1247), the contractor must submit with its bid, or within three (3) business days of the bid opening, the names, ethnicities, and genders of the TNUCP certified DBEs that will be used on the project, and the amount of subcontracts to be completed by the DBE (Form 8-5), or provide the necessary requirements for good faith efforts as specified in SP1247. The LG must submit this form with their bid concurrence package to the LPDO and copy the TDOT Civil Rights Office.
- The award of the contract shall be in general accordance with Section 103 of the TDOT Standard Specifications.



Important TDOT Approval Documents

Concurrence of Award of Construction Contract

Sixth Edition, March 2016

Local Government Guidelines for the Management of
Federal and State Funded Transportation Projects

Government Project Supervisor and all inspectors. The CEI firm must be selected as described in [Section 1.6](#).

If a proposal contract contains a DBE Goal ([TDOT SP 1247](#)), the contractor must submit with its bid, or within three (3) business days of the bid opening, the names, ethnicities, and genders of the TNUCP certified DBEs that will be used on the project, and the amount of subcontracts to be completed by the DBE ([Form 8-5](#)), or provide the necessary requirements for good faith efforts as specified in [SP 1247](#). The LG must submit this form with their bid concurrence package to the [LPDO](#) and copy the [TDOT Civil Rights Office](#).

8.2.7 AWARD OF THE CONTRACT

The award of the contract shall be in general accordance with [Section 103](#) of the TDOT Standard Specifications.



Until this bid concurrence is received, the LG may not award a contract to the contractor nor may it issue a work order. Failure to follow these procedures could result in a loss of funding for the Construction Phase of project development.

Once the TDOT Construction Office and TDOT Estimating and Bid Analysis Office concurs in the intent to award, the LG can proceed with the execution of the contract with the responsive low bidder. The LG will issue the contractor a copy of the Proposal Contract for signature. The contractor shall return the signed copy to the LG with a fully executed Payment and Performance Bond equal to one hundred (100) percent of the contract amount. The signed proposal contract and bond shall be returned within ten (10) days or the contract may be canceled and the Proposal Bond/Guarantee forfeited. Any necessary railroad insurance must also be submitted in accordance with the railroad agreements prior to the final execution of the contract (twenty (20) calendar days are allowed for this). **The signed contracts shall be distributed such that LPDO, the Contractor, the Surety, and the LG all receive signed copies.**

The LG shall submit all contractor and consultant firm's name, street address (with nine-digit zip code), DUNS number, and contact persons information to the LPDO by electronic means (email at Local.Programs@tn.gov).

At least seven days prior to the pre-construction conference, the LG shall send, by electronic means, a set of plans, a copy of the bid book and final cost estimate to the [TDOT District Operations Engineer/Manager](#) and the [TDOT Regional Materials and Tests Supervisor](#). A copy of this email shall be sent to Local.Programs@tn.gov.

Once all the required signatures, bonds, and insurance have been submitted, the LG will provide the contractor with a work order identifying the effective Date of Construction. The effective date is typically 21 calendar days after the issuance of the work order. **The LG shall also provide a copy of the work order via email to the TDOT District Operations Engineer/Manager and the LPDO.**



Pre-Construction and Construction Procedures

- The Local Government Guidelines describes a linear process, however many of these events could occur simultaneously or at a much later timeframe in the project process. Please be aware of the specific requirements for all processes in the construction phase relative to any approvals or submittals that are time sensitive. An example is a mix design, which will be discussed late in the presentation but it will be an item that will require approval near the start of construction.
- Also, the guidelines outline the high level documentation process for the project and does not outline the specific inspection or testing requirements for individual items.
Specific inspection requirements such as ADA requirements will be checked in the field.



When do you need Construction Inspection Services performed to TDOT standards?

- The LG shall hire an independent consulting firm for Construction Engineering Inspection (CEI) services to monitor the project and complete all the necessary inspection and documentation as outlined in the TDOT Proposed Scope of Work for CEI. The LG may use the same consultant for both the design phase and CEI phase of the project for small size projects only. For mid-range and large size projects, the selected CEI consultant shall not be associated with any other aspect of the project. Please refer to Section 3.1 and to the Local Version of TDOT Consultant Selection Policy (Form 1-2) for further information on this important requirement. The selected CEI consultant shall be a pre-qualified consulting firm on the TDOT pre-qualified list. All CEI staff shall be qualified in accordance with TDOT requirements.
- Depending on the type, amount, and difficulty of work, the Local Government may request that its own qualified forces be used to document and inspect the work in accordance with these guidelines. The use of local forces must be pre-approved by TDOT. Contact the LPDO for additional information.



Criteria For Allowing Local Governments To Manage Projects



Local Government Guidelines Form 1-2
March 1, 2016

ATTACHMENT A - Consultant Selection for Locally Managed Projects

Size of Project	Type of Project	Procurement Requirements
<p>SMALL projects</p> <ul style="list-style-type: none"> Must have a full-time employee on staff with experience managing transportation projects. Must hire consultants for all phases of the project from TDOT's approved list if the Local Government has not been approved by TDOT to use their own forces. The consultants must be qualified in the required area of expertise. 	<ul style="list-style-type: none"> Transportation Alternatives intersection improvements without significant ROW (under one acre of disturbance) Safe Routes to School resurfacing striping signing guardrail installation signalization some bridge replacement projects (under one acre of disturbance) non-construction/service contracts (as listed in Chapter 10 of the LGG) low-risk and exempt ITS 	<ul style="list-style-type: none"> Local Government can use the same consultant for the entire project (planning, preliminary engineering and CEI)
<p>MID-RANGE projects</p> <ul style="list-style-type: none"> Must have a qualified, full-time professional engineer on staff. Must hire consultants for all phases of the project from TDOT's approved list. The consultants must be qualified in the required area of expertise. 	<ul style="list-style-type: none"> roadway widening realignment of existing roadway signalization projects with the addition of turn lanes intersection improvements with significant ROW (over one acre of disturbance) bridge replacement projects requiring significant land acquisition (over one acre of disturbance) projects with environmental requirements greater than a categorical exclusion but lesser than an EIS high-risk ITS 	<ul style="list-style-type: none"> The selected CEI consultant shall not be associated with any other aspect of the project.
<p>LARGE projects</p> <ul style="list-style-type: none"> Must have a qualified, full-time professional engineer on staff with extensive experience working with federally-funded transportation projects. Must hire consultants for all phases of the project from TDOT's approved list. The consultants must be qualified in the required area of expertise. 	<ul style="list-style-type: none"> construction of new facilities widening of existing roadways realignment of existing roadways that require significant land acquisition (over 10 acres) environmental clearances that require an EIS 	<ul style="list-style-type: none"> The selected CEI consultant shall not be associated with any other aspect of the project.



Materials and Tests Charges for Local Government Projects

- The Tennessee Department of Transportation's Material and Tests Division requires payment for any materials testing done on construction projects. As stated in the Local Government's contract with TDOT, materials charges/departments oversight charges are the responsibility of the Local Governments. Therefore, when a Local Government utilizes the TDOT laboratory or certified personnel as a third party for Acceptance Testing, Independent Assurance Testing, Verification Testing, or Mix Design Approval, an invoice will be sent to the Local Governments for payment for such testing/approval at the end of each month or upon completion of a project. The Local Government representative will be asked at the preconstruction meeting to complete an information sheet to ensure proper distribution for the respective testing invoices.



Materials and Tests Charges for Local Government Projects


STATE OF TENNESSEE
DEPARTMENT OF TRANSPORTATION
MATERIALS & TESTS DIVISION
6601 CENTENNIAL BOULEVARD
NASHVILLE, TENNESSEE 37243-0360
(615) 350-4100

JOHN C. SCHROEK
COMMISSIONER

BILL HASLAM
GOVERNOR

Local Government information

PIN: _____
County: _____
Federal Project No: _____
State Project No: _____
Contract No: _____
Description: _____

The Tennessee Department of Transportation's Materials & Tests Division requires payment for any materials testing done on construction projects. Local Governments should expect a monthly invoice for payment when material testing is performed by TDOT. This includes material mixture design review and approval.

In order to ensure proper distribution of invoices, please complete the following information and send to the Materials & Tests Division office via e-mail TDOT.MaterialsTests@tn.gov or by mail using the address above.

The following information is where the invoices for test charges should be sent for payment.

Local Government Name: _____
Address: _____

Phone: _____
Contact Name: _____
Contact Phone: _____
Contact E-mail: _____

Notes: _____

Updated 3-15-14



BILLING PROCEDURES

- Invoices must be sent by email as an attachment to lpd.invoices@tn.gov in PDF form
- Includes all invoices for Local Programs, Enhancement/TA, and Safe Routes to School Projects
- **TDOT Local Government invoice cover sheet from <http://www.tn.gov/tdot/topic/reimbursement> must accompany all reimbursement requests**
- All invoices without the correct TDOT invoice cover sheet will be returned



SAMPLE: TDOT CONSTRUCTION INVOICE COVER SHEET

(NAME OF LOCAL GOVERNMENT)

Local Government Guidelines Form 8-8
July 23, 2015

LOCAL GOVERNMENT CONSTRUCTION COSTS INVOICE

INVOICE # _____
 STATE PROJECT # _____
 FED PROJECT # _____
 CONTRACT # _____
 PROJECT DESCRIPTION
 Type project description here.

INVOICE DATE: _____ TO _____
 INVOICE PERIOD: _____ TO _____

FINAL INVOICE FOR THIS PHASE? YES NO

LOCAL GOVERNMENT AGENCY: _____
 PERMIT TO ADDRESS: _____
 COUNTY: _____

	CONVERT COSTS	COST SHOWN ON PRIOR INVOICES	TOTAL COSTS
COSTS PER ENGINEER'S ESTIMATE OR LOCAL FORCED INVOICE	+	-	\$0.00
CONSTRUCTION ENGINEERING COSTS	+	-	\$0.00
SUBTOTAL			\$0.00
LESS: LOCAL GOVERNMENT SHARE 8%			\$0.00
BALANCE			\$0.00
LESS: AMOUNTS PREVIOUSLY INVOICED			\$0.00
AMOUNT DUE THIS INVOICE			\$0.00

I, THE SIGNER, UNDER PENALTY OF LAW THAT THIS CERTIFICATION IS TRUE AND ALL ATTACHMENTS WERE PREPARED UNDER MY DIRECTION OR SUPERVISION IN ACCORDANCE WITH A SYSTEM DESIGNED TO ASSURE THAT DATA BEING PROVIDED IS PROPERLY OBTAINED AND THAT RELATED INFORMATION IS PRESENTED. BASED ON MY INQUIRY OF THE PERSON OR PERSONS WHO MANAGE THE SYSTEM, OR THOSE PERSONS DIRECTLY RESPONSIBLE FOR GATHERING THE INFORMATION, I HEREBY CERTIFY THAT THIS SUBMITTAL IS ACCURATE AND CORRECT. I AM AWARE THERE ARE SIGNIFICANT PENALTIES FOR SUBMITTING FALSE INFORMATION, INCLUDING THE POSSIBILITY OF FINE AND IMPRISONMENT FOR KNOWING VIOLATIONS. I FURTHER ACKNOWLEDGE THAT FAILURE TO FOLLOW FEDERAL DIRECTIVES, GUIDELINES, AND REGULATIONS WILL RESULT IN THE LOSS OF FEDERAL FUNDING.

(PROJECT SUPERVISOR)

(LOCAL GOVERNMENT OFFICIAL)

FOR TDOT USE ONLY

INVOICE RECEIVED: _____

I HEREBY ACKNOWLEDGE RECEIPT OF THE APPROPRIATE ECONOMIC FAVOR FOR PAYMENT OF THE BIDDING INVOICE, WHICH INCLUDES CERTIFICATION SIGNED BY THE LOCAL GOVERNMENT ENTITY, BASED ON THE ATTACHED DOCUMENTATION AND IN ACCORDANCE WITH THE LOCAL PROGRAM GUIDELINES THIS INVOICE IS SUBMITTED FOR PAYMENT.

DATE OFFICIAL	DATE	\$	POLINES
APPROVED PAY _____	FED SPEED CHART _____	\$ _____	1
LOCAL MATCH _____	ST SPEED CHART _____	\$ _____	2
VENDOR NAME _____	LOC SPEED CHART _____	\$ _____	3
VENDOR ID _____	SPLIT SPEED CHART _____	\$ _____	4
LOCATION _____	ADDRESS # _____	RECEIPT # _____	5
IB480H CONTRACT ID _____	VOUCHER # _____		6
PURCHASE ORDER ID _____	PAYMENT REF ID # _____		8

COMMENTS: _____



MATERIALS AND TESTS BILLING

TN. Dept. of Transportation - Finance Division
505 Deaderick St, Suite 800, Nashville, TN 37243
Phone 615-350-4100 Fax 615-350-4128 TDOT.MaterialsTests@tn.gov

INVOICE #1007

Customer

Bedford County Dept. of Finance
200 Dover St., Suite 102
Shelbyville, TN 37160

Invoice Date 5/2/2014

Sales Person Materials & Tests Division
P.O. #

Phone 931-685-2024
Fax 931-680-1029

Job	Payment Due	Payment Terms
02953-3502-94 PIN 030645.01	6/2/2014	Net 30

Product	Quantity	Unit Price	Line Total
Concrete Cylinder Strength Testing	2	\$26.19	\$52.38

Services Total	\$0.00
Products Total	\$52.38
Taxes	\$0.00
Invoice Total	\$52.38

Thank you for your business

TN. Dept. of Transportation - Finance Division 505 Deaderick St, Suite 800, Nashville, TN 37243
Phone 615-350-4100 Fax 615-350-4128 TDOT.MaterialsTests@tn.gov



SAMPLE: AUTHORIZED SIGNATURE FORM



Local Government Guidelines Form 9-1
March 1, 2016

DUNS Number and Authorized Signature Form

DUNS Number	
DUNS Number	Address (must include 9-digit zip code)
Physical Address of Project (must include 9-digit zip code)	
Authorized Signatures	
A minimum of two (2) signatures must be shown to permit flexibility in making requests for reimbursement.	
Typed Name and Title	Signature
Typed Name and Title	Signature
Typed Name and Title	Signature
Typed Name and Title	Signature
I certify that the signatures of the above individuals are only those persons authorized to sign for the reimbursements requests.	
Signature of Highest Elected Official	Date

A new form must be submitted whenever authorized signers change



BILLING PROCEDURES

Invoices may be submitted no more often than monthly

C.4 Payment Methodology:

In the event that the Agency shall receive federal and/or state funds for any portion of the herein described Project, this provision shall apply.

- a) The Agency shall submit invoices, in a form outlined in the Local Government Guidelines with all necessary supporting documentation, prior to any reimbursement of allowable costs. Such invoices **shall be submitted no more often than monthly but at least quarterly** and indicate, at a minimum, the amount charged by allowable cost line-item for the period invoiced, the amount charged by line-item to date, the total amounts charged for the period invoiced, and the total amount charged under this agreement to date. Each invoice shall be accompanied by proof of payment in the form of a canceled check or other means acceptable to the Department.

Will not issue Notice to Proceed without billing of prior phase of project



BILLING PROCEDURES

- **Invoices will be returned for correction of errors**
- **Each request must include:**
 - **copies of paid invoices**
 - **copies of canceled checks, or**
 - **other acceptable proof of payment**
 - **personal private information (PPI) removed from backup documentation**
 - **approved submittal signature**



Pre-Construction Procedures

LOCAL GOVERNMENT REPRESENTATIVE

- The Local Government (LG) must designate a Project Supervisor and an Official who will be responsible for the administration of the project, including, but not limited to: requesting authorization of funds, requesting award of contract, supervision of the CEI, authority to approve changes, and accountability for contract compliance (23 CFR 635.105) as outlined in Chapter 3: Getting Started.
- The LG will act on the behalf of the Tennessee Department of Transportation (TDOT) for the administration of construction projects and that in accordance with federal regulations, funds may be withheld for non-compliance of federal rules and regulations (23 CFR 1.36):

“If the Administrator determines that a Local Agency has violated or failed to comply with the Federal laws or the regulations in this part with respect to a project, he may withhold payment to the Local Agency of Federal funds on account of such project, withhold approval of further projects by the Local Agency, and take such other action that he deems appropriate under the circumstances, until compliance or remedial action has been accomplished by the Local Agency to the satisfaction of the Administrator.”



Construction Procedures

- **AWARD OF THE CONTRACT**



- **The Local Government shall request TDOT concurrence in its intent to award the contract to the lowest responsive bidder. This request shall be sent to the Manager of the Local Program Development Office by electronic means (email at Local.Programs@tn.gov) who will forward it to the TDOT Construction. Until this concurrence is received, the Local Government may not enter into contract with the contractor nor may it issue a work order. Failure to follow these procedures could result in a loss of funding for the Construction Phase of project development.**



Construction Procedures

- Once the TDOT Construction Office and TDOT Estimating and Bid Analysis Office concurs in the intent to award, the LG can proceed with the execution of the contract with the responsive low bidder. The LG will issue the contractor a copy of the Proposal Contract for signature. The contractor shall return the signed copy to the LG with a fully executed Payment and Performance Bond equal to one hundred (100) percent of the contract amount. The signed proposal contract and bond shall be returned within ten (10) days or the contract may be canceled and the Proposal Bond/Guarantee forfeited. Any necessary railroad insurance must also be submitted in accordance with the railroad agreements prior to the final execution of the contract (twenty (20) calendar days are allowed for this). **The signed contracts shall be distributed such that LPDO, the Contractor, the Surety, and the LG all receive signed copies.**



Construction Procedures

AWARD OF THE CONTRACT (CONT'D)

- At least seven days prior to the pre-construction conference, the LG shall send, by electronic means, a set of plans, a copy of the bid book and final cost estimate to the TDOT District Operations Engineer/Manager and the TDOT Regional Materials and Tests Supervisor. A copy of this email shall be sent to Local.Programs@tn.gov.
- Once all the required signatures, bonds, and insurance have been submitted, the Local Government will provide the contractor with a work order (Notice to Proceed) identifying the effective Date of Construction. The effective date is typically 21 calendar days after the issuance of the work order. **The LG shall also provide a copy of the work order via email to the TDOT District Operations Engineer/Manager and the LPDO.**



LP NIC System

- Upon award of the construction contract, the LG or CEI will need to visit <https://apps.tn.gov/tdotlp/> to enter project, contractor and subcontractor information.
- Types of information entered in LP NIC includes: contract amount, contractor's business name, contractor's contact person name, contractor's DUNS number, all subcontractors' information, and contract end date.
- If the LG has multiple construction projects underway, all projects will show on the LG's dashboard in LP NIC. The award concurrence email is the LG's notification to add construction information into LP NIC.
- For the first project entered into LP NIC, one person per LG will receive a username and password via email. There is one login per LG.
 - If you change your username and password, you will need to alert any users within your organization.



LP NIC System Screenshot

TN

Local Programs

Tennessee Department of Transportation - Local Programs

Users

Welcome back.

[Go to Log In](#)

What You Can Do

- Revise Project and Contractor information
- Add and Edit Subcontractor information

What You Will Need

- Contractor and Subcontractor information including their ID - Duns, Contact Name/Address, Contract Numbers and more

[Help and FAQs](#)

[Privacy Statement](#)

Tennessee Department of Transportation

This online service uses [cookies](#).



LPDO Help and FAQs

Questions about LP NIC:

Whitney Sullivan
Local Programs Office
615-253-1387
whitney.sullivan@tn.gov

Technical Questions:

NIC, TN - Tennessee.gov
Help Desk
(615) 313-0300 or
1-866-8TN-EGOV
help@egovtn.org



Work Order Example

City of Fayetteville

John Ed Underwood, Jr. Mayor
Gwen Shelton, Vice Mayor
Scott Collins, City Administrator



Alderman:
Danny Bryant
Marty Pepper
Dorothy Small
Michael Whisenant
Tom Young

Phone (931) 433-6154
Fax (931) 433-2557

"Where Tradition Meets Tomorrow"

110 Elk Avenue South * Fayetteville, TN 37334 * www.fayettevilletn.com

September 19, 2014

Lincoln Paving, LLC
P.O. Box 1034
Fayetteville, TN 37334

RE: Notice to Proceed with Work

PIN: 118545.00

County: Lincoln

Federal Project No.: STP-M-3310 (10)

State Project No: 521PLM-F3-013

Contract No: 130035

Description: **Roadway Resurfacing Along Washington Street**

You are hereby notified to commence work in accordance with the above-referenced contact on **Tuesday September 23, 2014** and you are to complete all work on or before **Friday November 21, 2014**.

CITY OF FAYETTEVILLE, TENNESSEE

By: 
John Ed Underwood, Mayor

Cc: Regional Construction Engineer
Regional Materials and Tests Engineer
Regional Environmental Coordinator
Manager, Comprehensive Inspections
Manager, Natural Resources Office
Director, Materials and Tests Division
Director, Small Business Development Office
Manager, Program Dev. & Sch. Office
Manager, Operations Office
Director, Labor Standards Division
HQ Finance (Contract Payments Section)
Zachary Dufour, Kimley-Horn
Jackie Hunter, CEI, Smith Seckman Reid
Scott Collins, City Manager
Jeff Siefert, Codes Director
Eddie Plunkett, Public Works Director



Construction Procedures

AWARD OF THE CONTRACT (CONT'D)

- A filing system for the construction phase of the project should be in place at this time. Project files shall consist of the contract applicable files as required by Form 8-6. Additional project files may be added as deemed necessary.
- The Local Program Guidelines Manual and respective forms are located on the TDOT website at <http://www.tn.gov/tdot/topic/local-programs-documents-and-forms> . These forms are in Microsoft Word format and easily downloadable. **Please be advised that changes to TDOT circular letters may not be reflected in the referenced forms. In addition, other required TDOT forms not referenced will need to be obtained from your respective Regional TDOT office.** **Link to TDOT Circular Letters:** <http://www.tn.gov/tdot/article/transportation-construction-circular-letters>



Construction Project File List



Local Government Guidelines Form 8-6
March 1, 2016

Construction Project Files

Project files shall be neatly organized to adequately document and record all project correspondence, and provide full support for all payments and decisions made including material certifications and test reports, calculations, invoices, etc.

Project files shall consist of the contract applicable files listed below. Additional project files may be added as deemed necessary.

Correspondence incoming & outgoing - Two project-specific Correspondence Files shall be maintained throughout the life of the project. The files consist of all project related correspondence received and sent. This includes all meeting minutes, letters, printed emails, fax documents, etc.

Pay Item file – A project folder shall be maintained per item. Folders shall contain Material Certifications/Test Reports and any support documentation (worksheets/calculations) for the specific item.

Engineer's Estimate file- Copies of the Engineer's Estimate and all the supporting documents submitted to the Finance Department for payment.

Sub-Contract file – contains all Approved Sub-Contract forms.

Plans Revisions file – contains copies of all requested plans revisions. Also, a copy of the approved request shall be placed in this folder.

Shop Drawings file – One copy of approved shop drawings shall be placed in this folder.

DBE file– contains any Disadvantage Business Enterprise related documents. Also, contains copies of the actual contract agreements between the Prime Contractor and the DBE sub-contractor.

Utility file – contains all general correspondence in regard to Utility work.

Utility Name files – A folder per Utility Name shall be created. This folder will contain any related documents concerning the specific Utility. Also, this file will contain the Utility Specific Utility Diary Sheets.

Trainee file – consists of all trainee program supporting documents.

Environmental file – consists of environmental related documents, including copies of the Notice of Coverage (NOC) and Notice of Termination (NOT).

Environmental (Construction Storm Water Inspection Certification) file – contains copies of all Construction Storm Water Inspection Certification.

Environmental (EPSC) file – contains copies of all EPSC reports including the Rainfall Data Log.

Safety (Accidents) file – contains copies of all official Police Reports of all accidents that occurred within the project limits.



Local Government Guidelines Form 8-6
March 1, 2016

Contractor Name Payroll file – A folder per Contractor Name shall be created. This folder will contain copies of all the specific contractor payrolls submitted conforming to the requirements.

Employee Interviews file – consists of all original Employee Interviews.

Change Orders file – contains copies of the submitted Supplemental Agreement with supporting documents attached and a copy of the approved Supplemental Agreement (with all required signatures).

Job Mix Formulas file – contains copies of all approved Asphalt Job Mix Formulas for the appropriate asphalt mixes included in the project.

Concrete Designs file – contains copies of all approved Concrete Designs for the appropriate types of concrete included in the project.

TCD Checklist file – This folder contains all original Traffic Control Devices Checklist submitted by the Project Inspector.

Prompt Payment file – consists of all original Prompt Payment forms submitted by the Contractor.

Monthly Construction Report file – contains copies of all Monthly Construction Reports mailed to the Prime Contractor.

Attestation of Illegal Immigrants file – contains the original form submitted by the Prime Contractor.

Contractor Performance Evaluation file – contains the original form completed by the Project Manager

End of Job file – contains copies of all project documents related to the completion of the project.



Construction Procedures

PUBLIC RELATIONS AND PUBLIC INFORMATION

- The Local Government, with the CEI, should provide timely information to the local media regarding lane closures, construction updates, and general project information. It is suggested the Local Government establish an area on its website for such information. Project specific information such as construction updates, lane closures or detours should be addressed at the appropriate time to make the motoring public aware of current conditions. Any closure or detour affecting a state route or major artery shall be coordinated with TDOT and the Local Agency.



Construction Procedures

SUBCONTRACTING OF WORK

- The prime contractor may sub-let work in accordance with Section 108.01 of the TDOT Standard Specifications, as allowed in 23 CFR 635.116 (CL 108.01-01, CL 108.01-02). In no case shall the prime contractor sublet more than seventy (70) percent of the original contract amount excluding specialty items. All subcontractors must be pre-qualified in accordance with TDOT Standard Specifications (Section 102.01).
- Please be aware that TDOT now requires all PRIME contractors (except mowing and litter removal contractors) to be licensed with the Tennessee Department of Commerce and Insurance, Board for Licensing Contractors. Contractors will not be required to have a license to bid, however, prior to recommending award of the Contract, TDOT will confirm that the lowest responsible bidder is licensed. The Contractor will be considered for award for twenty-one (21) days after the letting date (bid submittal). If the contractor does not have a license, on or before the 21 days, the contractor will be considered non-responsive, and the next lowest responsible bidder will be considered for award.



Construction Procedures

SUBCONTRACTING OF WORK

- The LG shall approve all 1st, 2nd, or greater tier subcontracts. All approved Sub-Contractors shall be on the TDOT Pre-Qualified Contractor List. An approved and executed subcontract form must be on file in the project records (Subcontract File) before a subcontractor can begin work. An approved and executed subcontract form bears all of the required signatures of the appropriate officials. The Prime Contractor shall submit to the LG completed sub-contract forms after they have been collected from the subcontractors. Form 8-7a , Form 8-7b, and Form 8-7c are provided for 1st, 2nd, and 3rd tier subcontractors. Link to Prequalification :
(<http://www.tn.gov/tdot/topic/construction-contractor-prequalification>)



Construction Procedures

SUBCONTRACTING OF WORK (CONT'D)

- FHWA requires that all subcontracts at any tier be in writing, per 23 CFR, Section 635.116(b). This includes both contracts between the prime contractor and their subcontractors, and contracts between subcontractors and their agents. Each of these subcontracts shall physically contain the following documents. NONE OF THESE DOCUMENTS CAN BE INCLUDED BY REFERENCE ONLY:
 - Form FHWA 1273 “Required Contract Provisions, Federal-Aid Construction Contracts,” and,
 - The minimum wage rates for the contract as required by Tennessee Prevailing Wage Rate Act and 29 CFR.
- It is the responsibility of the Local Government to ensure full compliance with all required provisions.



Subcontract Forms

Subcontract Form					
<i>Insert Local Government Name</i>					
<i>Insert Local Government Address</i>					
<i>Insert Phone #</i>					
Prime Contractor			Contract No.		
Street Address			Project No.		
City			Project Ref No.		
State		Zip Code	County		
Subcontractor					
Street Address					
City					
State	Zip Code				
<p>The following items are to be subcontracted in accordance with Subsection 108.01 of the Tennessee Department of Transportation's Standard Specifications, Special Provisions, and other applicable forms.</p>					
	-		\$	-	
	-		\$	-	
	-		\$	-	
	-		\$	-	
	-		\$	-	
	-		\$	-	
	-		\$	-	
	-		\$	-	
			\$	-	
			Total This Page		
			Total Additional Pages		
			Overall Total		

Prime Contractor		Contract No.		
Date	Signature	Print Name and Title		
<p>Signature by the prime contractor is certifying: (1) that a written subcontract exists containing the items and quantities listed herein and all requirements and pertinent provisions of the prime contract, and (2) that no work included in the written subcontract has or will be performed prior to approval by the Department. (3) If the project is federally funded, then form FHWA 1273 must be physically included in all sub-contracts, including 2nd tier, and cannot be referenced.</p>				
Subcontractor				
<p>The above statement of Subcontract is presented with my knowledge and consent: The subcontractor named on this form is (CHECK ONE)</p>				
<input type="checkbox"/> A Certified DBE <input type="checkbox"/> Woman-owned <input type="checkbox"/> Minority-owned				
<input type="checkbox"/> Minority-owned, not certified DBE				
<input type="checkbox"/> Woman-owned, not certified DBE				
<input type="checkbox"/> Is not a Minority Subcontractor				
<p>as defined in Section 101 of the Tennessee Department of Transportation Standard Specifications.</p>				
Subcontractor's Telephone Number: _____				
Subcontractor's Employee Identification Number: _____				
Date	Signature (Subcontractor)	Print Name and Title		
<p>The Subcontractor is advised that they must comply with all applicable labor requirements of this contract. Copies of the labor requirements and wage rates can be obtained from the Prime Contractor.</p>				
<p>THE FOLLOWING IS TO BE COMPLETED BY THE LOCAL GOVERNMENT PROJECT SUPERVISOR.</p>				
<table border="1" style="margin: auto;"> <tr> <td style="padding: 5px;">This Subcontract _____ %</td> </tr> <tr> <td style="padding: 5px;">Subcontracted to Date _____ %</td> </tr> </table>			This Subcontract _____ %	Subcontracted to Date _____ %
This Subcontract _____ %				
Subcontracted to Date _____ %				
Date	Approved By Signature	Print Name		
Submit Form:				
By Mail to: _____		or By E-mail to: _____		



Construction Procedures

DBE SUBCONTRACTS AND CIVIL RIGHTS CONTRACT COMPLIANCE

- As soon as possible after the award of the contract, the Contractor shall submit to the Local Government Project Supervisor a copy of the actual signed contract agreement between the contractor and the DBE subcontractor for each DBE. **The actual signed agreement(s) must be on file in the project records before the first progress estimate is paid.**
- If a DBE is unable to perform work committed toward a goal, the DBE shall notify the LG by a signed statement that the DBE is unable to complete the work. The contractor shall have another DBE perform the item of work or have a DBE perform other items to replace the original DBE commitment amounts. If a replacement cannot be obtained the contractor shall provide the LG with documentation of good faith efforts. Please refer to TDOT Special Provision (SP) 1247 and www.tdot.state.tn.us/civil-rights/smallbusiness/ for further guidance.
- The TDOT Civil Rights Division may be contacted to obtain additional guidance on Good Faith Effort determinations. If a DBE is unable to perform the work which they committed to perform, the prime contractor/consultant should notify the LG. Adequate effort should be made to replace the dollar amount of the lost DBE commitment.



Construction Procedures

DBE SUBCONTRACTS AND CIVIL RIGHTS CONTRACT COMPLIANCE (CONT'D)

- If the contract has a DBE Goal, a copy of the signed sub-contract agreement between the Prime Contractor and the DBE Sub-Contractor must be in the project records (DBE file) before the first progress estimate can be paid. Additional information regarding Disadvantaged Business Enterprises is located in Chapter 7: Civil Rights Compliance.
- At the Pre-Construction Conference, the Prime Contractor shall identify all DBE subcontractors indicating approximate dates for their appearance on the project.



Construction Procedures

DBE SUBCONTRACTS AND CIVIL RIGHTS CONTRACT COMPLIANCE (CONT'D)

- The DBE Company Profile (Form 8-8a) and DBE Material Supplier/Trucker Contract Certification (Form 8-8b) shall be completed in accordance with TDOT Circular Letter 1247-01 once the DBE contracts are in place as outlined in Section 7.2.9. Contact the Local Government DBE Liaison for a copy of the completed DBE Company Profile. A DBE Company Profile and the DBE Material Supplier/Trucker Contract Certification shall be completed for each DBE on the project and kept by the LG for records.



DBE Company Profile Example



Local Government Guidelines Form 8-8a
March 1, 2016

DBE Company Profile

(To be completed by the Local Government DBE Liaison or Civil Rights Coordinator on DBE Goal Projects, provide a copy to the Local Government Project Supervisor)

Date:
Contract No.:
Project No.:
PIN No.:
County:
Contract Description:
Prime Contractor:
DBE Firm:
Areas of Certification:

Type of Operation:

Contractor Trucker Regular Dealer Manufacturer

	YES	NO	N/A
Is the business' primary function to manufacture construction products? (If no, this is a red flag)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the regular dealer have an established storage facility and inventory? (If no, this is a red flag)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal contract executed by the DBE to perform a distinct element of work is on file in the Civil Rights Office (DBE Goal Contracts Only)? (If no, this is a red flag)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If no, has construction field office been contacted?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Subcontract Date:			
Has the Regional Construction Office submitted an approved TDOT Subcontract Form? (If no, this is a red flag)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If no, has construction field office been contacted?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
DBE on-site representative/contact for hiring, firing, or modifying the contract:			
Has a two party/joint check been approved by the Civil Rights Office?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Has a 2nd-Tier Subcontract been approved by the Civil Rights Office?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



Construction Procedures

DBE SUBCONTRACTS AND CIVIL RIGHTS CONTRACT COMPLIANCE (CONT'D)

- **The Commercially Useful Function (CUF) Checklist (Form 8-9) shall be completed for every DBE on all projects and submitted to the TDOT Civil Rights Office via their web address (tdot.dbe.program@tn.gov).** The Local Government Project Supervisor shall assume the responsibility of completing the CUF Checklist. The Project Inspector shall initiate the CUF Checklist as soon as the DBE starts work. The date on the CUF Checklist (Date of Review) should be the date the actual observation was made. The Project Supervisor shall send the original to the DBE Liaison. A copy of the completed DBE Company Profile and a copy of the CUF Checklist shall be sent to the TDOT Civil Rights Office with a copy provided to the LPDO.
- All work activities performed by a DBE shall be monitored and documented to ensure compliance. All work performed by a DBE shall be documented separately in the Project Diary. The DBE name, equipment, labor, and the type of work performed shall be documented. The acronym DBE shall be written beside the DBE name to distinguish DBE status. The project inspector shall ensure the DBE is performing the work reflected on the Sub-Contract.



CONSTRUCTION CONTRACT ADMINISTRATION

CONSTRUCTION

- All construction shall be completed in full compliance with the contract documents, including the Bid Book, TDOT Standard Specifications for Road and Bridge Construction, and TDOT Standard Drawings.
- The TDOT Regional Construction Manager and Materials & Tests Manager will each assign a TDOT representative to participate in the project pre-construction conference. The TDOT Construction Representative will conduct routine project reviews (at designated intervals as described in C.L. 105.11-01), attend progress meetings, and participate in the final inspection.
- For non-traditional projects, the LPDO may elect to utilize a consultant firm to conduct oversight reviews. The TDOT Regional office will need to verify with the LPDO if an oversight consultant firm will be used.



CONSTRUCTION CONTRACT ADMINISTRATION

CONSTRUCTION

- The TDOT Operations' Circular Letter File contains general guidance and requirements for the proper administration of projects.
The Circular Letters can be found at:
<http://www.tn.gov/tdot/article/transportation-construction-circular-letters>
- Reduced requirements for non-traditional projects can be found in Chapter 10: Non-Traditional Projects.



Contract Documents

- TDOT Local Government Guidelines (LGG)
- TDOT Standard Specifications for Road and Bridge Construction (2015) and Supplemental Specifications
- TDOT Standard Drawings
- Contract including Special Provisions
- Plans
- TDOT Circular Letters
- Other referenced guidance (AASHTO, ASTM, MUTCD, ETC.)



Hierarchy of Contract Documents (§105.04)

- Special Provisions
- Plans
- Supplemental Specifications
- Standard Specifications



CONSTRUCTION CONTRACT ADMINISTRATION

PRE-CONSTRUCTION CONFERENCE

- Before any work begins, a pre-construction conference shall be held (Standard Specifications, Section 105.06) by the Local Government's Project Supervisor to discuss the contractor's plan of operation, required contract provisions, environmental commitments if applicable, erosion control, traffic control/work zone safety, utility relocations, inspection, materials acceptance, independent assurance, quality control plans, certified payrolls, DBE/sub-contractors (approximate mobilization dates), etc. Minutes (Pre-Construction Conference Minutes Form) shall be kept of this conference, including an attendance roster (Pre-Construction Conference Sign-in Sheet), and key decisions shall be fully documented. A copy of these minutes should be emailed to all attendees and to Local.Programs@tn.gov .
- A meeting announcement (Pre-Construction Conference Notice) (Circular Letter 105.06-01) (Form 8-10a) shall be sent 14 days in advance, to all parties with a vested interest in the project including, but not limited to: prime and sub contractors, material suppliers, permitting agencies, utility owners, the TDOT District Operations Engineer/Manager, TDOT Regional Materials and Tests Supervisor and other affected LGs.



CONSTRUCTION CONTRACT ADMINISTRATION

PRE-CONSTRUCTION CONFERENCE (CONT'D)

- **TDOT Materials & Tests Office and TDOT District Operations Office representatives must be present at the Pre-Construction Conference.** If both of these offices are not represented at the Pre-Construction conference, the Pre-Construction conference must be postponed until TDOT representatives can be present.
- In the Pre-Construction Conference, the following documents will be required.
 - • Pre-Construction Notice (Form 8-10a)
 - • Pre-Construction Conference Meeting Minutes (Form 8-11a)
 - • Pre-Construction Conference Sign-in Sheet (Form 8-12)
- In the case that Erosion Control and/or Utility Conferences are necessary, refer to Section 8.2.14 and/or Section 8.2.15.



Preconstruction Meeting Agenda Items to be Discussed

AGENDA ITEMS

1. Plan of construction operation and work schedule as specified in Subsection 105.06 of the T.D.O.T. Standard Specifications.
2. Erosion Control Plan as specified in Subsection 209.05 of the T.D.O.T. Standard Specifications.
3. Name of the person in charge of the project, traffic control, erosion control and their home telephone, mobile and beeper number.
4. Plan for detouring/controlling traffic.
5. Material Suppliers List - including name and location of suppliers as specified in Subsection 106.07 of the T.D.O.T. Standard Specifications.
6. Listing of ALL subcontractors and the items and/or material they are involved with.
7. Letter certifying that all temporary traffic control items to be used, fully comply with the Department of Transportation requirements as specified in Subsection 712.02 of the T.D.O.T. Standard Specifications. This letter must be signed and notarized.



Preconstruction Meeting Agenda Items to be Discussed

AGENDA ITEMS (CONT'D)

8. Contractor Employee Safety and Health Program (ESHP) Certification Letter (Special Provision 107SHP & Circular Letter 107.01-01)
9. Proposed trainees and classifications as specified in Special Provision 1240 if applicable.
10. A copy of the signed agreement between the prime contractor and each DBE subcontractor as specified in SP 1247 to be presented.
11. 407 Process Control Plan for asphalt as specified in Subsection 407.03 of the T.D.O.T. Standard Specifications.
12. 604 Process Control Plan for concrete as specified in Subsection 604.03 of the T.D.O.T. Standard Specifications.



Preconstruction Meeting Agenda Items to be Discussed

AGENDA ITEMS (CONT'D)

1. Listing of contact personnel of contractor for Traffic Control, Erosion Control, Customer Service and Employee Safety.
2. A project site bulletin board is required on all federal aid projects. The bulletin board must display required posters as noted in Circular Letter 1273-01, Project Site Poster board.
3. The Department of Labor and Workforce Development lists on their website all the posters required by the Tennessee State Government and those required by the Federal Government for all Tennessee Employers. The posters may be downloaded off of the Department of Labor website and printed. The posters are located under the Online Services menu option under Posters. **The following website can be used to obtain the required posters:** <http://www.tn.gov/workforce/article/required-posters>
4. The Civil Rights Division Regional Contract Compliance Officer can provide assistance in locating the posters / documents that are required in regard to DBEs, EEO, and Title VI.



Preconstruction Conference

ENVIRONMENTAL (EROSION CONFERENCE)

- An emphasis shall be placed on maintaining the construction project in regard to Environmental requirements. Construction projects require various permits to allow construction work to be performed. Refer to the Statewide Storm Water Management Plan (SSWMP).
- The SWPPP, the erosion control plans, and all applicable environmental permits shall be adhered to on the project.
- Various permits require routine inspections of erosion control measures, documentation of environmental issues that arise, and completion of various reports. The LG shall be responsible for compliance with all applicable environmental regulations, including reporting and records keeping (Circular Letter 209.01-02, Circular Letter 209.01-03, Circular Letter 209.01-04, Circular Letter 209.01-05, Circular Letter 209.06-01).
- In the case that a separate Erosion Control Conference is necessary due to the magnitude of environmental work related to the contract, the following documents will be required.
 - Erosion Control Conference Notice (Form 8-10b)
 - Erosion Control Conference Meeting Minutes (Form 8-11b)
 - Erosion Control Conference Sign-in Sheet (Form 8-12)



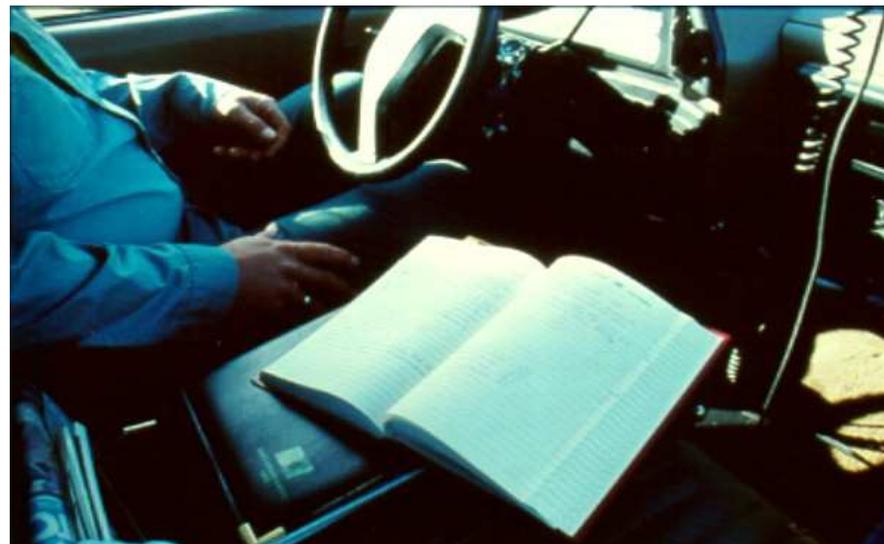
Preconstruction Conference

UTILITIES AND RAILROAD

- For utility steps, flow charts, and details, refer to Chapter 6: Right-of-Way, Utility and Railroad Procedures.
- Various highway projects require the adjustment of utility facilities to accommodate the activities of the highway contractor as well as meet the physical requirements to improve the section of the highway. Utility relocation work can be performed as part of the contract or prior to start of construction on the project. In either case, adequate documentation shall be maintained. In various circumstances the appropriate utility may be reimbursed for expenses incurred for the relocation. Reimbursement will be determined before utility work begins.
- In the case that a separate Utility Conference is necessary due to the magnitude of utility work related to the contract, the following documents will be required:
 - Utility Conference Notice (Form 8-10c)
 - Utility Conference Minutes (Form 8-11c)
 - Utility Conference Sign-in Sheet (Form 8-12)



Construction Contract Administration





Construction Contract Administration

CONTRACT ADMINISTRATION (CONT'D)

- Quality contract administration is a requirement to ensure that the construction project is built in accordance with the plans, specifications, and special provisions and is completed by the projected completion date. Refer to Form 8-16 for Local Government Construction Checklist.
- File Management - Project files shall be neatly organized to adequately document and record all project correspondence, and provide full support for all payments and decisions made including material certifications and test reports, calculations, invoices, etc. in accordance with 23 CFR 635.123.
- Project files shall consist of the contract applicable files as required by Form 8-6. Additional project files may be added as deemed necessary.



LGG Construction Checklist



Local Government Guidelines Form 8-16
March 1, 2016

Construction Checklist

PIN:
County:
Federal Project No.:
State Project No.:

The following checklist is intended to serve as a guide to assist the local government during the construction process. This list contains basic requirements for most types of construction projects. The local government should check the Local Government Guidelines and the TDOT Circular Letters for requirements pertaining to individual construction projects.

Requirement	Details	Comments
Local Government issues work order (LGG – Chapter 8)	Copies to: • CEI • Contractor • TDOT Regional Construction • Local Program Development Office	
LG/CEI schedules Pre-Construction Conference (schedule at least 2 weeks in advance) (CL 105.06-04)	Notify: • TDOT Reg. Const. or TDOT Consultant • TDOT Reg. Materials & Tests • TDOT Civil Rights • Contractor/Subcontractors • Utilities, etc.	
LG/CEI sends plans and copy of proposal (min. 7 days prior to Pre-Con Meeting) (LGG – Chapter 8)	Copies to: • TDOT Regional Construction • TDOT Reg. Materials & Tests	
LG/CEI issues Pre-Con Meeting Minutes (LGG – Chapter 8)	Copies to: • All attendees • Local Program Development Office	
Contractor submits required documents to LG/CEI at Pre-Construction Conference	Refer to LGG Chapter 8	
LG/CEI Issues Starting Notice on the 1 st day work is performed on project (LGG – Chapter 8)	Copies to: • Local Program Development Office • All others copied on Form-17	
LG/CEI Inspects and maintains Daily Work Reports throughout life of project (LGG – Chapter 8) (TDOT SOP 1-1 and 1-2)	All inspectors must be qualified/certified as required. All documentation must be on TDOT Local Government Forms	

Page 1 of 2



Local Government Guidelines Form 8-16
March 1, 2016

Requirement	Details	Comments
LG/CEI performs Materials Testing and gives 72 hour notice to TDOT Materials & Tests for Independent Assurance & Verification tests	TDOT SOP 1-1 and SOP 1-2	
Contractor submits asphalt and concrete mix designs for approval prior to use on project	Submit to: • TDOT HQ Materials & Tests	
Contractor submits subcontracts for approval prior to sub working on project	Submit to: • LG / CEI	
Contractor submits weekly Payrolls (CL 1273-02)	Submit to: • LG / CEI	
LG/CEI performs monthly contractor employee interview and verifies payroll information (CL 1273-03)	Copy to: • Project file	
LG/CEI issues monthly progress payments to Contractor (LGG Chapter 8)	Before payment is issued: • Contractor payrolls must be up-to-date • Labor Interviews must be on file • All Material certifications and/or test reports must be on file for documented installed quantities • All materials must come from approved sources on TDOT's QPL or Producer/Supplier List	
LG/CEI completes Monthly Construction Report (LGG Chapter 8)	Copies to: • Contractor • Surety	
LG/CEI performs Final Inspection w/ TDOT when all work is complete (LGG Chapter 8)	Copy to: • Prime Contractor	
LG/CEI issues Completion Notice when project is complete and punch list items have been addressed. Completion date to be noted in Daily Work Report. (CL 105.15-01)	Copies to: • Local Program Development Office • TDOT Regional Construction • TDOT Reg. Materials & Tests • TDOT Civil Rights	
LG/CEI/Contractor prepares Contract Finalization Documents (LGG Chapter 8)	Documents include: • Final Estimate • Overrun/Underrun Explanations • End of Job Certificate • CC-3(s) • Material Certification Letter	

Page 2 of 2



Construction Contract Administration

CONTRACT ADMINISTRATION (CONT'D)

- Proposal Contract Book - The executed Proposal Contract contains project information including contract items, item descriptions, unit prices, the total contract bid amount, special provisions, in addition to the required signatures to execute the contract.
- Starting Notice - As soon as possible after work starts, the Local Government's Project Supervisor or Local Government Official shall send a notice (Form 8-17) by email that work has started to the LPDO (Local.Programs@tn.gov) and all others copied on Form 8-17.



Starting Notice

Local Program Development Office
Tennessee Department of Transportation
Suite 600
James K. Polk Building
Nashville, TN 37243

RE: START NOTICE

PIN:
County:
Federal Project No.:
Description:

State Project No.:
Contract No.:
Reference No.:

To Whom It May Concern:

This is to advise the following on the above captioned project.

Work Begin Date:

Notice to Proceed Date:

Sincerely,

cc: Regional Construction Engineer
Regional Materials and Tests Engineer
Regional Environmental Coordinator
Manager, Comprehensive Inspections Program
Manager, Natural Resources Office
Director, Materials and Tests Division
Director, Small Business Development Office
Manager, Program Operations Office
Manager, Program Dev. & Sch. Office
Director, Labor Standards Division
HQ Finance (Contract Payments Section)



Construction Contract Administration

CONTRACT ADMINISTRATION (CONT'D)

- Project Meetings - Several project meetings are held throughout construction of the project.
- Partnering, scheduling, and progress meetings are held during construction. Detailed meeting minutes shall be documented and kept in the project records "Correspondence File". A meeting sign-in-sheet shall accompany the meeting minutes.
- Progress meetings shall be held, at a minimum, quarterly to discuss the status of the project and other project issues. The Local Government's Project Supervisor, Local Government Official and the TDOT representative shall be notified of the scheduled progress meetings.
- Attestation of Illegal Immigrants (Circular Letter 102.01-02) (Form 8-18) The Prime Contractor shall certify they are not knowingly utilizing the services of illegal immigrants in the performance of each contract.



Construction Contract Administration

PROJECT INSPECTION AND DOCUMENTATION

- The LG/CEI shall maintain an adequate, qualified staff to administer the inspection and material sampling and testing in accordance with all circular letters, specifications, standard drawings, and contract documents. As previously noted, the services of a qualified CEI firm, unless otherwise approved by TDOT, shall be used for the inspection of work, the sampling and testing for acceptance (TDOT SOP 1-1), and proper and sufficient documentation of acceptance. The inspection staff shall be qualified and knowledgeable about the type of work taking place, be familiar with the contract documents, and certified in accordance with TDOT Standard Operating Procedures (TDOT SOP 1-3) when conducting sampling and testing of materials for acceptance.
- The TDOT representative will conduct routine project reviews, attend progress meetings, and participate in the final inspection of the project. The Local Government Project Supervisor and the Local Government Official responsible for the project shall be present at project reviews and the final inspection. Refer to Circular Letter 105.11-01 for detailed information on the frequency of the project reviews. Any findings during the project reviews shall be responded to in writing by the Local Government Project Supervisor and the Local Government Official.



Construction Contract Administration

PROJECT INSPECTION AND DOCUMENTATION (CONT'D)

- **CEI SCOPE OF SERVICES SUMMARY**
 - 1. Erosion Control and Preconstruction Conferences**
 - 2. Attend Weekly meetings**
 - 3. Project Administration**
 - 4. Provide Construction Inspection (Required Certifications)**
 - OSHA 10 Hour Safety Training Construction (All field personnel)
 - Asphalt Roadway Paving Inspector - TDOT
 - Asphalt Plant Technician - TDOT
 - Class 1 Concrete Technician – TDOT or ACI
 - Soils and Aggregate Technician - TDOT
 - Nuclear Gauge Training
 - EPSC TDEC Level I – TDEC

Certification from another State Highway Department, nationally recognized institution, or other approved agency may be acceptable in lieu of the TDOT certification. Prior approval is required.



Construction Contract Administration

PROJECT INSPECTION AND DOCUMENTATION (CONT'D)

- **CEI SCOPE OF SERVICES SUMMARY**
 - 5. Conduct Field Surveys**
 - 6. Supplemental Agreements/Construction Change, Force Account, VECF**
 - 7. Shop Drawings**
 - 8. Quality Assurance, Testing for Acceptance, and Training**
 - 9. Progress Payments**
 - 10. Revisions to the Contract Plans**
 - 11. Distribution of Correspondence**



Construction Contract Administration

PROJECT INSPECTION AND DOCUMENTATION (CONT'D)

- **CEI SCOPE OF SERVICES SUMMARY**

- **12. Inspection of Work:**

- Provide inspection services for conformance to Plans and
- Observe, measure, and record all quantities for payment.
- Record field measurements for review by the Department or auditors.
- The records will be recorded on a standard form (fieldbook) supplied or defined by the Department and/or on field inspection forms to be submitted to the Department.
- Check traffic control daily, and additionally as required or requested.
- Notify the contractor of deficiencies or problems immediately.
- The consultant is not charged with the role of safety inspector, but expected to have unsafe issues corrected by the Prime Contractor.
- Document weekly (or as often as necessary) project traffic control and distribute reports as required.



Construction Contract Administration

PROJECT INSPECTION AND DOCUMENTATION (CONT'D)

- **CEI SCOPE OF SERVICES SUMMARY**

- **12. Inspection of Work (cont):**

- Inspect daily erosion control items for conformance to the plans as well as effectiveness in the field. Notify the contractor of deficiencies.
- Prepare to justify any and all pay quantities.
- Prepare an accurate daily diary signed by the inspector, consisting of:
 - A record of the contractors on the project
 - Their personnel (number and classification)
 - Equipment (number and type or size)
 - Location and work performed by each contractor or subcontractor
 - Orders given the contractor
 - Events of note on the project



Construction Contract Administration

PROJECT INSPECTION AND DOCUMENTATION (CONT'D)

- **CEI SCOPE OF SERVICES SUMMARY**

- **12. Inspection of Work (cont):**

- Prepare an accurate daily diary signed by the inspector, consisting of (cont):
 - Accidents on the project w/(police report, fatalities, causes, time, etc.)
 - Weather conditions, precipitation, temperature (AM, noon, PM)
 - Days charged (if working day contract), with explanation if not charged
 - Equipment arriving or leaving the project, idle equipment
 - Any other details that may be important later in the project life



Construction Contract Administration

PROJECT INSPECTION AND DOCUMENTATION (CONT'D)

CEI SCOPE OF SERVICES SUMMARY

- Inspection will be needed full time while the contractor is working. Project inspection crews will vary. You will always need a certified concrete inspector when placing concrete. You will need a certified roadway asphalt inspector and a certified asphalt plant technician when placing asphalt paving. Below is typical inspection crews needed for construction projects:
 - Paving project: 1 field inspector, 1 plant inspector, 1 project engineer and records assistant
 - Road Widening project: 1 field inspector, 1 project engineer and records assistant (concrete inspector, asphalt inspectors and EPSC inspector as needed)
 - Bridge project: 1 field inspector, 1 project engineer and records assistant
 - Signal replacement project: 1 manager/inspector and records assistant



Construction Contract Administration

PROJECT INSPECTION AND DOCUMENTATION (CONT'D)

- The LG/CEI shall conduct all acceptance testing (TDOT SOP 1-1). A representative from TDOT Regional Materials and Tests shall conduct all verification and independent assurance testing for the local project in accordance with (TDOT SOP 1-2).
- Various methods shall be used to document project activity. Daily activities are documented in the project diary, work item quantities are documented in the field book, adjustments/additions/deductions are calculated using worksheets, and specific reports and checklists are used to establish the quality of work. A Project Diary template and loose-leaf field book templates are available on the LPDO website.
- The Local Government's Project Supervisor, project office personnel, and inspectors are required to maintain accurate and complete records of all construction work. All records shall be made available for review at TDOT's request.
- It is of prime importance in the administration of a contract that measurements and calculations of contract item quantities are accurate, that records of such quantities are complete and detailed enough to sustain audit, and that records of all other activities pertaining to the contract contain sufficient details and are clear enough to be read and understood by anyone unfamiliar with the project.



Construction Contract Administration

PROJECT INSPECTION AND DOCUMENTATION (CONT'D)

- Project files shall be neatly organized to adequately document and record all project correspondence, and provide full support for all payments and decisions made including material certifications and test reports, calculations, invoices, etc. in accordance with 23 CFR 635.123.
- Common types of documentation:
 - Project Diary
 - Item Documentation
 - Field book documentation
 - Item quantity tickets
 - Work item quantities
 - Cross-section quantities
 - Bridge Foundation Information
 - Item Adjustment Worksheets
 - Certified Public Weigher Review



Construction Contract Administration

PROJECT INSPECTION AND DOCUMENTATION (CONT'D)

- Asphalt
 - 1. Hot Mix Asphalt Plant Inspector Checklist (Circular Letter 407.04-01) (Form 8-19)
 - 2. Hot Mix Asphalt Roadway Inspector Checklist (Circular Letter 407-14.01) (Form 8-20)
- Bridge Deck
 - 1. Pre-Pour Checklist (Form 8-23)
 - 2. During Checklist (Form 8-24)
 - 3. Post Pour Checklist (Form 8-25)
- Safety
 - 1. Work Zone Traffic Control Inspection Form (Circular Letter 712.07-01)(Form 8-21) (weekly)
- Guardrail
 - 1. Guardrail and Guardrail Terminal Anchor Daily Field Report (Circular Letter 705.05.01) All guardrail shall be inspected at the time of installation. Guardrail end terminals shall be tagged using the appropriate Guardrail Decal.
 - 2. Guardrail Inspection Form for Deficient or Deviated Terminal Units – Deficient Guardrail found upon inspection shall be documented on the Guardrail Inspection Form for Deficient or Deviated Terminal Units
- The Guardrail Decal and Guardrail Inspection Form for Deficient or Deviated Terminal Units are available from the Regional Materials and Tests Office.



Construction Contract Administration

CONSTRUCTION INSPECTION OF STRUCTURES

- The requirements in Section 8.2.16 shall apply to construction inspection of structures in addition to the following requirements.
- The Bridge Construction Inspector's Checklist (Form 8-22) **shall be completed for each bridge on the project and forwarded to the Division of Structures at completion of the work along with an electronic copy of the contract drawings.**
- A qualified construction inspector shall be on site to view foundation conditions and substructure construction including but not limited to: driving of piles, concrete pours, girder erection, steel spacing and elevations, deck pouring operations (TDOT SOP 4-1), and other structural appurtenances as necessary. **This inspector will be responsible for maintaining a daily diary.** A certification from the Engineer of Record confirming compliance with TDOT standard construction procedures shall be required.



Construction Contract Administration

CONSTRUCTION INSPECTION OF STRUCTURES (CONT'D)

- The Structures (Construction) Checklist (Form 8-23) shall also be submitted with the as-built plans.
- A Pre-Pour Meeting shall be scheduled and conducted prior to any bridge deck pours (Circular Letter 604.17-01). The following forms are required when pouring a bridge deck.
 - 1. Bridge Deck Pre-Pour Checklist (Form 8-23)
 - 2. Bridge Deck During Pour Checklist (Form 8-24)
 - 3. Bridge Deck Post-Pour Checklist (Form 8-25)



Construction Contract Administration

CONSTRUCTION INSPECTION OF STRUCTURES (CONT'D)

- Bridge Foundation Information
 - For the bridge foundation, the following information must be documented for abutments, piers, etc.
 - FOOTING ELEVATIONS
 - PILE CUT-OFF ELEVATION
 - PILE TIP ELEVATION
 - IN PLACE PILE LENGTH
 - This information shall be documented on the Field Book- Footing Table and the Field Book- Pile Data Table in the Field Book Sheets.
 - After the bridge is completed to the satisfaction of the Local Government's inspector, the Local Agency must contact the TDOT Regional Bridge Engineer to arrange an inspection prior to the contractor de-mobilizing. **A minimum four week notice should be provided for the TDOT Regional Bridge Engineer.**



Construction Contract Administration

CONSTRUCTION INSPECTION OF STRUCTURES (CONT'D)

- On new bridge construction as well as bridge repair projects, the Local Government Project Supervisor shall contact the TDOT Regional Bridge Engineer to request an initial acceptance inspection, that the bridge construction, not necessarily the whole project is complete. Even if the approach work is not already in place, the bridge inspectors can do their initial inspection of the structure and document any deficiencies they discover. Their inspection report, listing those deficiencies, can be copied to the Project Supervisor for the contractor to address before leaving the project.
- The final closeout of contracts between the Local Government and TDOT cannot occur without a copy of the TDOT Bridge Inspector's findings and resolution of any listed defects.
- A compact disc (CD) containing as-built drawings and final foundation type, including footing elevations and lengths of individual piles, along with all approved shop drawings, shall be furnished to the Division of Structures prior to final payment of funds to the Local Government. The Structures (Construction) Checklist (Form 8-26) shall also be submitted with the as-built plans. A copy of the letter transmitting this CD shall be sent to the Local Program Development Office at Local.Programs@tn.gov.



Construction Contract Administration

PLANS AND WORKING DRAWINGS (SHOP DRAWINGS)

- The construction plans, generally, will show sufficient details and dimensions to define the work. When additional details and dimensions are needed, the contractor shall prepare working drawings and submit them to the Engineer of Record for approval. In any case, the fabricator shall be construed to be an agent of the contractor and any changes from the construction plans submitted by the fabricator shall be considered as made by the contractor. All costs for changes will be at the expense of the contractor. Shop drawings for all types of structures shall be submitted by, or on behalf of the contractor, directly to the Engineer of Record unless noted otherwise in plans or specifications, for handling with the checking agency and for distribution. Proof of appropriate fabricator certification (as required by these specifications) for type of structure to be fabricated shall be submitted along with the shop drawings.



Construction Contract Administration

PLANS AND WORKING DRAWINGS (SHOP DRAWINGS) (CONT'D)

- The following items require submittal of shop drawings by the contractor:

Structural Steel, Metal Bridge Rails, Bearing Devices (shop drawings not required for plain elastomeric bearing pads), Bridge Deck Drains (shop drawings not required if fabricated according to applicable Standard Drawing), Navigation Lighting Support Brackets, Precast Prestressed Concrete Beams, Precast Prestressed Concrete Deck Panels, Precast Reinforced Concrete Beams, Precast Reinforced Concrete Box Culverts, Post-tensioned Concrete, Roadway Expansion Devices, Steel Stay-In-Place forms, Energy Attenuation Devices, Overhead and Cantilever Sign Structures, Strain Poles, Street Lighting Poles, High Mast Poles with Accompanying Lowering Devices, Photometrics, Cofferdams and any other items when indicated on plans. Also required are erection drawings for steel structures, drawings of falsework, bracing, cofferdams, sheeting, bending of reinforcing steel and other supplementary plans called for by the Engineer of Record.



Construction Contract Administration

PLANS AND WORKING DRAWINGS (SHOP DRAWINGS) (CONT'D)

- Each shop drawing sheet shall contain in the title block the following:
 - Project number
 - County
 - Bridge name
 - Bridge number (or structure type and number)
 - Station
 - Contract number
 - The words “Locally Managed Project”

- Shop drawings shall be submitted in sets with the drawing numbers running consecutively in each set, and, if more than 5 sheets in a set, shall be appropriately bound. Shop drawings marked “APPROVED” or “APPROVED AS NOTED” need not be resubmitted unless specifically instructed.



Construction Contract Administration

PLANS AND WORKING DRAWINGS (SHOP DRAWINGS) (CONT'D)

- Shop drawings shall be a minimum of 8-1/2 x 11 inches in size. Legible half-size copies (11 x 17 inches) of full size drawings are acceptable for submittal. The minimum number of sets of shop drawings shown below shall be submitted for approval. Only one (1) set will be returned to the fabricator unless specifically requested and the additional set(s) requested to be returned is submitted along with those shown below. For consultant designs, an additional set is required. For railroad structures, three (3) additional sets are required. Copies should be kept in LG's files. Two Sets: Structural Steel (Half-size sets shall be submitted for approval. Four (4) additional sets, two (2) full-size and two (2) half-size, will be required after final approval.)
 - Four Sets: Energy Attenuation Devices, Overhead and Cantilever Sign Structures, Strain Poles, Street Lighting Poles, High Mast Poles with Accompanying Lowering Devices, Photometrics (Submit directly to Special Design Office, Structures Division), Cofferdams
 - Six Sets: Metal Bridge Rails, Bearing Devices (shop drawings not required for plain elastomeric bearing pads), Bridge Deck Drains (shop drawings not required if fabricated according to applicable Standard Drawing), Navigation Lighting Support Brackets, Precast Prestressed Concrete Beams, Precast Prestressed Concrete Deck Panels, Precast Reinforced Concrete Beams, Precast Reinforced Concrete Box Culverts, Post-tensioned Concrete, Roadway Expansion Devices, Steel Stay-In- Place forms, and any other type of structural shop drawing not specifically listed.



Construction Contract Administration

PLANS AND WORKING DRAWINGS (SHOP DRAWINGS) (CONT'D)

All working drawings shall be approved by the Engineer of Record; such approval shall be general in nature and shall not operate to relieve the contractor of any of his responsibility under the contract for the successful completion of the work. In addition to such approval, working drawings involved in construction over or under railroad tracks will require approval of the railroad company before approval is granted by the Engineer of Record. The contractor shall submit four sets of plans for any cofferdams, sheeting and bracing details for bents or piers adjacent to a track, and falsework for erecting the spans over tracks, and the method of installation for the protection of the tracks, to the Engineer of Record. No work shall be started until these plans are approved by the LG and the Chief Engineer of the railroad. Approval of these plans will not relieve the contractor from liability. The above also applies in connection with the installation of pipes, culverts, etc. adjacent to or under railroad tracks. The cost of preparation of working drawings will not be paid for separately but shall be included in the prices of the respective contract items involved.



Construction Contract Administration

EROSION PREVENTION / SEDIMENT CONTROL (EPSC) INSPECTION

- It is essential that the SWPPP, SWMPP, and erosion control plans be followed and revised as needed to fully comply with the environmental permits on each project. The Local Government and the CEI shall conduct routine project inspections and document the findings to ensure that the SWPPP and SSWMP is being followed and that non-compliance is unlikely. Note: As stated earlier in this manual, the SSWMP only applies to projects inside state highway right-of-way.
- The Local Government is encouraged to acquire the services of an independent, certified professional in Erosion and Sediment Control (CPESC) certified erosion control consultant on projects with an NPDES or ARAP permit to conduct project inspections. The purpose of the inspections is to provide a “third party” independent review to ensure that the EPSC devices are installed and maintained as required, ensure the requirements of the permits are being documented and followed, and, if asked, provide recommendations. The inspections should be conducted monthly, or more frequent if violations or repeat non-conformances occur.



Construction Contract Administration

EROSION PREVENTION / SEDIMENT CONTROL (EPSC) INSPECTION (CONT'D)

- Erosion and Sediment Control Construction Inspection Report - This report shall be completed for the evaluation of erosion and sediment control measures on all projects that are subject to the requirements of the NPDES General Permit for Storm Water Discharges from Construction Activities. This report shall also be used to document Contractor compliance with erosion and sediment control requirements in conformance with ARAP, Corps of Engineers, and/or TVA permits. An Inspection Report template and sample, along with instructions, are noted in EPSC Inspection Manual. The fillable version of the report is available as Form 8-27 on the LPDO website.



Construction Contract Administration

EROSION PREVENTION / SEDIMENT CONTROL (EPSC) INSPECTION (CONT'D)

- Class V Underground Injection Control (UIC) Permit – Circular Letter 209.06-01 establishes the procedures for applying for a UIC Permit on an active construction project in the event that depressions (sinkholes with open throats) are encountered on or bordering the project site during construction activities.
- Construction Related Sediment Removal – Circular Letter 209.01-03 establishes the procedures for removal and/or stabilization of sediment discharges caused by active construction projects to non-jurisdictional areas, as well as jurisdictional areas, within or beyond the project's construction limits.
- Waste/Borrow Site Weekly EPSC Inspection Review Report – This report shall be completed for the evaluation of approved project exclusive waste/borrow sites. The contractor is responsible for performing twice weekly EPSC inspections of the site and must have a certified EPSC inspector as required by the TDEC Construction General Permit. Instructions for completing this report are noted in Circular Letter 209.01-04.



Construction Contract Administration

EROSION PREVENTION / SEDIMENT CONTROL (EPSC) INSPECTION (CONT'D)

- Notice of Termination (NOT) (TDEC CN-1175) – Storm Water Discharges Construction Activity (Circular Letter 107.08-01) (Form 8-28) - This form notifies the Tennessee Department of Environment and Conservation of the request to termination of coverage from the General NPDES Permit for Discharges of Storm Water Associated with Construction Activities. Instructions for completing the NOT form are noted in Circular Letter 107.08-01.
- Upon concurrence of final stabilization by all involved parties, the NOT form shall be completed by the Local Government Project Supervisor and submitted to the local WPC Environmental Field Office address indicated on the form.



Construction Contract Administration

CERTIFIED PAYROLL AND LABOR COMPLIANCE INTERVIEWS

- As required in TDOT Special Provision 1273, Section V, (23 CFR 635.118) the contractor, and subcontractors, shall submit a weekly payroll of wages paid to each employee with a certification statement (refer to Sample Payroll). Circular Letter 1273-02 provides additional information.
- The CEI or LG shall conduct at least one (1) contractor employee interview monthly to verify that the payroll submitted is accurate and employees are being paid properly (hours and wages). Circular Letter 1273-03 provides additional guidance on the required employee interviews.



Payroll Page 2 Example

Date _____

I, _____ (Name of Signatory Party) _____ (Title)

do hereby state:

(1) That I pay or supervise the payment of the persons employed by

_____ on the _____ (Contractor or Subcontractor)

_____ (Building or Work); that during the payroll period commencing on the _____ day of _____, and ending the _____ day of _____.

all persons employed on said project have been paid the full weekly wages earned, that no rebates have been or will be made either directly or indirectly to or on behalf of said

_____ from the full _____ (Contractor or Subcontractor)

weekly wages earned by any person and that no deductions have been made either directly or indirectly from the full wages earned by any person, other than permissible deductions as defined in Regulations, Part 3 (29 C.F.R. Subtitle A), issued by the Secretary of Labor under the Copeland Act, as amended (48 Stat. 948, 63 Stat. 108, 72 Stat. 967; 76 Stat. 357; 40 U.S.C. § 3145), and described below:

(2) That any payrolls otherwise under this contract required to be submitted for the above period are correct and complete; that the wage rates for laborers or mechanics contained therein are not less than the applicable wage rates contained in any wage determination incorporated into the contract; that the classifications set forth therein for each laborer or mechanic conform with the work he performed.

(3) That any apprentices employed in the above period are duly registered in a bona fide apprenticeship program registered with a State apprenticeship agency recognized by the Bureau of Apprenticeship and Training, United States Department of Labor, or if no such recognized agency exists in a State, are registered with the Bureau of Apprenticeship and Training, United States Department of Labor.

(4) That: (a) WHERE FRINGE BENEFITS ARE PAID TO APPROVED PLANS, FUNDS, OR PROGRAMS

- in addition to the basic hourly wage rates paid to each laborer or mechanic listed in the above referenced payroll, payments of fringe benefits as listed in the contract have been or will be made to appropriate programs for the benefit of such employees, except as noted in section 4(c) below.

(b) WHERE FRINGE BENEFITS ARE PAID IN CASH

- Each laborer or mechanic listed in the above referenced payroll has been paid, as indicated on the payroll, an amount not less than the sum of the applicable basic hourly wage rate plus the amount of the required fringe benefits as listed in the contract, except as noted in section 4(c) below.

(c) EXCEPTIONS

EXCEPTION (CRAFT)	EXPLANATION

REMARKS:

NAME AND TITLE	SIGNATURE

THE WILLFUL FALSIFICATION OF ANY OF THE ABOVE STATEMENTS MAY SUBJECT THE CONTRACTOR OR SUBCONTRACTOR TO CIVIL OR CRIMINAL PROSECUTION. SEE SECTION 1001 OF TITLE 18 AND SECTION 231 OF TITLE 31 OF THE UNITED STATES CODE.



Construction Contract Administration

UTILITY RELOCATION NOT INCLUDED IN THE CONTRACT (NON-REIMBURSABLE OR REIMBURSABLE)

- There are contracts in which the utility relocation work is not included in the Local Government contract as bid items. The relocation work is performed before the construction work begins. The appropriate utility shall be directed to notify the Local Government's Project Supervisor when a work begin date is determined. The Local Government shall provide authorization for the utility to go to work. The Utility shall then submit billings to the Local Government. Local Government inspects and certifies that relocation work bill is done in accordance with the approved plans and estimates. Local Government makes payment of invoices for contracted utility relocation.
- The Project Utility Diary (DT-0667) (Circular Letter 105.07-04) (Form 8-13) is used to document the relocation work performed. The Project Utility Diary shall be used on all projects requiring utility relocations, to document the relocation work whether the work is reimbursable or not. The Project Utility Diary section "Description of Work Performed": will be the only documentation required. However, the documentation shall note if the work is reimbursable or not. The work start date and work complete date shall be noted.



Construction Contract Administration

UTILITY RELOCATION INCLUDED IN THE CONTRACT

- Utility relocation work included in the contract requires documentation of utility item installed quantities. The quantities are paid on the progress estimate.
- The appropriate utility company shall provide an inspector to document and certify the items used in the utility relocation.
- The following documentation is required for utility relocation work included in the contract:
 - • Project Utility Diary (DT-0667)(Form 8-13)
 - • Utility Item Certification / Final Acceptance (DT-1716)(Form 8-14)
 - • Summary of Installed Utility Items

RAILROADS

- For projects with railroad involvement, once construction is complete, the Local Government shall submit a Railroad Completion Notice (Form 8-15).



Construction Contract Administration

PROGRESS PAYMENTS

- The Local Government shall make monthly partial progress payments to the contractor in general accordance with Section 109.06 of the TDOT specifications, 23 CFR 635.122, and Circular Letter 109.02-02.
- Progress payment reimbursement requests submitted to TDOT shall contain all the necessary documentation and certifications as required in Chapter 9 of these guidelines.
- Monthly Engineer's Estimate - Item quantities paid on engineer's estimates shall be supported by field documentation as directed in the Item Documentation instructions. Each item's current estimate quantity documented in the Field Book shall be referenced to the respective engineer's estimate number where payment was made. The reference shall be placed in the remarks field on the Field Book sheet.



Construction Contract Administration

PROGRESS PAYMENTS (CONT'D)

- Material Certifications covering each item's current estimate quantity shall be on file before payment may be processed. (Circular Letter 109-02.02)
- Additional information documented on the progress estimate:
 - Documented reason as to why Liquidated Damages are not being accessed on the current progress estimate when the contract days charged has overrun the original contract days allowed.
 - Local Government Project Supervisor's signature approving estimate payment also certifies that the required labor interview has been conducted.
 - Local Government Project Supervisor's signature certifies that the required material certifications are on file for each item's current estimate quantity.
- Monthly Construction Report - At the end of each estimate period a Monthly Construction Report is sent to the Contractor and a copy is sent to the Surety. The Monthly Construction Report documents the status of the project in regard to % of time used vs. % of contract amount paid. A 15% variance of time over amount shall be explained.

Progress Payment Example



(NAME OF LOCAL GOVERNMENT)

Local Government Guidelines Form 9-8
January 1, 2014

ENGINEER'S ESTIMATE

STATE PROJECT # _____
 FEDERAL PROJECT # _____
 PROJECT DESC _____
 CONTRACT # _____

ORIGINAL AMOUNT _____
 EXECUTION DATE _____
 EFFECTIVE DATE _____
 TIME COMPLETE _____

ESTIMATE # _____
 PARTIAL _____

PIN # _____

REVISED AMOUNT _____
 CONTRACT END _____
 CONT WORK DAYS _____
 WORK COMPLETE _____

CORRESPONDS TO CONSTRUCTION ENGINEERING BILLING # _____

FINAL _____ (Note: Final Estimate Certification must be signed)

BID ITEM NO.	PART	NON PART	DESCRIPTION	UNIT OF MEAS	CURRENT	QUANTITIES PREVIOUS	TOTAL	UNIT PRICE	CURRENT PARTICIPATING AMOUNT	TOTAL PARTICIPATING AMOUNT
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I CERTIFY UNDER PENALTY OF LAW THAT THIS CERTIFICATION/ESTIMATE AND ALL ATTACHMENTS WERE PREPARED UNDER MY DIRECTION OR SUPERVISION IN ACCORDANCE WITH A SYSTEM DESIGNED TO ASSURE THAT QUALIFIED PERSONNEL PROPERLY GATHERED AND EVALUATED INFORMATION PRESENTED. BASED ON MY INQUIRY OF THE PERSON OR PERSONS WHO MANAGE THE SYSTEM, OR THOSE PERSONS DIRECTLY RESPONSIBLE FOR GATHERING THE INFORMATION, I HEREBY CERTIFY THAT THIS SUBMITTAL IS ACCURATE AND CORRECT. I AM AWARE THERE ARE SIGNIFICANT PENALTIES FOR SUBMITTING FALSE INFORMATION, INCLUDING THE POSSIBILITY OF FINE AND IMPRISONMENT FOR KNOWING VIOLATIONS. I FURTHER ACKNOWLEDGE THAT FAILURE TO FOLLOW FEDERAL DIRECTIVES, GUIDELINES, AND REGULATIONS WILL RESULT IN THE LOSS OF FEDERAL FUNDING.

(CONSULTANT CONSTRUCTION ENGINEERING SUPERVISOR)

I CERTIFY THAT DAVIS-BACON LABOR INTERVIEWS HAVE BEEN PERFORMED DURING THIS ESTIMATE PERIOD, EXCEPT AS LISTED BELOW:

EXCEPTION: _____

(CONSULTANT CONSTRUCTION ENGINEERING SUPERVISOR)

I CERTIFY THE (LOCAL GOVERNMENT) HAS SUFFICIENT TEST REPORTS ON HAND TO COVER THE TOTAL QUANTITIES SHOWN ON THIS ESTIMATE.
 I CERTIFY THAT DAVIS-BACON LABOR INTERVIEWS HAVE BEEN PERFORMED DURING THIS ESTIMATE PERIOD.
 I CERTIFY THE CURRENT MONTHLY EARNINGS FOR THIS CONTRACT ARE \$ _____

APPROVED FOR PAYMENT: _____
(LOCAL GOVERNMENT PROJECT SUPERVISOR)

FINAL ESTIMATE CERTIFICATION:
 I CERTIFY THE (LOCAL GOVERNMENT) HAS REDUCED THE FINAL ESTIMATE BY ANY LIQUIDATED DAMAGES OR DISINCENTIVES CHARGED TO THE CONTRACTOR. IF THE LIQUIDATED DAMAGES OR DISINCENTIVES EXCEED THE AMOUNT OF THE FINAL ESTIMATE, A CHECK FOR THE FEDERAL SHARE OF THE OVERPAYMENT MUST BE SUBMITTED TO TDOT WITH THIS ESTIMATE.

(LOCAL GOVERNMENT PROJECT SUPERVISOR)



Construction Contract Administration

PROMPT PAYMENT AND RETAINAGE

- The prime contractor shall pay each subcontractor no later than thirty (30) days after payment is received from the LG (T.C.A. 12-04-707). The Certification Regarding Prompt Payment to Subcontractors and Material Suppliers and DBE/SBE Payment Summary Form (Form 8-29) must be completed by the Prime Contractor to certify each month that payment has been made to the appropriate subcontractors and submitted monthly to the TDOT Civil Rights Office via their web address (TDOT.DBE.Program@tn.gov). The prompt payment form will run two months in arrears (example: to pay the progress payment for March 2016 the prompt payment form for January 2016 must be on file). More information on certification of prompt payment can be found in Circular Letter 109.02-05. Please refer to TDOT Special Provision (SP) 1247 and <http://www.tn.gov/tdot/topic/small-business> for further guidance.
- In addition, **the LG may not withhold retainage on progress payments from the prime contractor and the prime contractor may not withhold retainage from their subcontractors.**



Construction Contract Administration

ALTERATIONS AND EXTRA WORK (CHANGE ORDERS OR PLAN REVISIONS)

- The construction industry recognizes that it is unrealistic to expect that a construction project could be built without deviating from the project plans. Although project designers should be diligent and exercise due care in developing the plans, they are not omniscient. There are many peculiarities (e.g., unforeseen site conditions, utility conflicts, changes in the geology, etc.) that can arise during construction and virtually every project should expect changes. Only the construction engineer is in a position to judge the adequacy of project designs and respond to needed changes. The LG may initiate a Plans Revision.
- Extra work shall be completed in accordance with subsections 104.02 and 104.03 of the TDOT Standard Specifications as outlined in 23 CFR 635.120. Any changes to the original proposal contract or plans must be documented by a Local Programs Change Order (Form 8-30) along with all supporting documentation for costs associated with the Change Order. **The request must be submitted to the LPDO for funding eligibility approval prior to proceeding with the Change Order request.**



Construction Contract Administration

ALTERATIONS AND EXTRA WORK (CHANGE ORDERS OR PLAN REVISIONS) (CONT'D)

- The supporting documentation shall include:
 - A description of the condition with the date, time, and location impacted
 - Explanation of why the condition represents a change to the contract
 - A statement of all changes required to the contract price(s), delivery schedule, phasing and time. The pricing component shall include a comparison of average unit prices; or the contractor's labor and equipment costs; or other approved methods.
- After approval is received from the Local Programs Development Office, it can then be signed by the contractor, his surety, and Local Government **Project Supervisor**. An executed copy shall also be submitted to the Local Programs Development Office. The approved change order becomes part of the contract. In addition, a Summary Change Order shall be prepared and submitted to TDOT as outlined in Section 8.4.3.



Construction Contract Administration

ALTERATIONS AND EXTRA WORK (CHANGE ORDERS OR PLAN REVISIONS) (CONT'D)

- Upon receipt of a Plans Revision Request, a plans revision shall be made by the “Engineer of Record” to the plans when an error, omission, correction, or additional detail is needed. Plans revisions shall be documented by the following information:
 1. Revision Number – Revisions shall be numbered consecutively throughout the life of the project.
 2. Revision Date – The effective date of the revision.
 3. Brief Description – A brief description as to the basis of the revision.



Materials and Tests Procedures

MATERIALS AND TESTS

- The quality of materials on the project and tests performed must conform to all applicable ASTM and AASHTO Standard Specifications for Transportation Materials and Methods of Sampling and Testing, most current edition.
- The Local Government or CEI shall provide the TDOT Regional Materials Supervisor a set of plans and a copy of the bid book for each project prior to the Pre-Construction Conference as outlined in Section 8.2.7.
- **Asphalt and concrete mix designs shall meet TDOT specifications. All mix designs should be a TDOT preapproved plant specific design. In the event a non-standard design is called for, approval shall be the responsibility of the LG. These non-standard designs shall be submitted to the LG following the same submittal process as those submitted to TDOT and outlined within TDOT Standard Operating Procedures SOP 4-4 (Concrete) and SOP 3-4 (Asphalt).**



Materials and Tests Procedures

MATERIALS AND TESTS (CONT'D)

- Construction Inspection and Approval must conform to Federal-Aid Policy Guide 23 CFR 637 subpart B – Quality Assurance Procedures for Construction.
- The Quality Assurance Procedures for Construction as set forth in the federal policy generally consists of the following points:
 - All materials used on the project must have test reports, material certifications and/or field testing by certified personnel to document that the material meets appropriate specifications.
 - Testing shall be in accordance with a FHWA approved testing program which includes procedures for the sampling, testing and acceptance of materials and products. The source for each type of material must be on TDOT's Qualified Product List or Producer Supply List.



Materials and Tests Procedures

ACCEPTANCE TESTS

- Local Governments/CEI shall conduct Acceptance Sampling and Testing in accordance with TDOT SOP 1-1.
- Acceptance samples and tests are used for determining the quality and acceptability of the material and workmanship which have been or are being incorporated in the project. The results of these tests are to be used by the Local Government to determine conformance to contract documents.
- Local Government/CEI shall conduct Acceptance Sampling and Testing in accordance with TDOT SOP 1-1. Acceptance testing may be conducted by a 3rd party laboratory, accredited through the AASHTO Accreditation Program (AAP). The LG must have the 3rd party laboratory's AASHTO Materials Reference Laboratory (AMRL) and/or Cement and Concrete Reference Laboratory (CCRL) accreditation on file prior to testing. A list of accredited laboratories can be found at the AMRL website.
- All materials incorporated in the construction of the project shall be approved regarding material requirements. Materials used on the project must have test reports, material certifications, and/or field testing by certified personnel to document that the materials meet appropriate specifications.



Materials and Tests Procedures

ACCEPTANCE TESTS (CONT'D)

- Estimated item quantities shall not be paid without the proper material certification on file in the appropriate project file. Item payment shall be withheld until the proper approved material certification is in hand.
- Materials delivered to the project site used in work shall be in compliance with TDOT Specifications, Qualified Products List or other contract documents when TDOT specifications are utilized
- Materials accepted by certification require a T-2 form attached to the certification. Form 8-31 (DT-0044LP) is the Contractor Material Certification and/or Sampling & Testing Record. Material Certifications shall be date appropriate according to the date the material was used.
- **The Buy America requirements in Special Provision 106A regarding iron and steel products are applicable.**



Materials and Tests Procedures

VERIFICATION TESTS

- Verification samples and tests are those used for validating the quality of a product which is being incorporated into the project. LG or CEI shall be responsible for obtaining verification samples in accordance with TDOT SOP 1-1 and submitting to TDOT Materials & Tests. TDOT Materials & Tests shall conduct Verification Testing in accordance with TDOT SOP 1-1.
- The CEI or the Local Government shall notify the TDOT Regional Materials Supervisor at least 72 hours prior to the start of work requiring verification testing.



Materials and Tests Procedures

INDEPENDENT ASSURANCE TESTS

- TDOT Materials & Tests shall conduct Independent Assurance Sampling and Testing in accordance with TDOT SOP 1-2. Independent Assurance testing is only required for projects on the National Highway System (NHS).
- The CEI or the Local Government shall notify the TDOT Regional Materials Supervisor at least 72 hours prior to the start of work requiring Independent Assurance testing.
- Independent assurance samples and tests are used for the purpose of making checks on the reliability of the results obtained in acceptance sampling and testing. An independent assurance technician will be responsible for observing the acceptance technician conduct the tests to ensure that the proper techniques and procedures are followed.
- Independent assurance sampling shall be conducted at the minimum frequency established in TDOT SOP 1-2. A prompt comparison of acceptance test results with independent assurance test results will be made by the TDOT representative. This comparison must be documented in the project records. If the comparison indicates a problem either with the materials or with the testing methods, action must be taken immediately to resolve the problem.



Materials and Tests Procedures

PROJECT MATERIAL CERTIFICATION

- A materials certification shall be issued by the Local Government or their CEI Representative to the Local Program Development Office at the completion of the project in accordance with 23 CFR 637.207.
- The intent of the material certification is to assure that the quality of all materials incorporated into the project is in conformance with the plans and specifications.
- The certification from the Local Government or their CEI Representative must be based on an audit of the project records according to a certification check list stating that:
“The results of the test on acceptance samples indicate that the materials incorporated in the construction work, and the construction operations controlled by sampling and testing, were in conformity with the plans and specifications; and such results compare favorably with the results of the independent assurance sampling and testing. Exceptions to the plans and specifications are explained in the attachment.”



Materials and Tests Procedures

PROJECT MATERIAL CERTIFICATION (CONT'D)

- At the completion of the project, the Local Programs Material and Tests Certification (DT-1696LP) with supplement form, including documentation for all failing material tests and the corrective action taken, shall be completed by the LG and submitted to the LPDO. This assures compliance with 23 CFR 637.207. The certification document shall be placed in the End of Job file. The intent of the material certification is to ensure that the quality of all materials incorporated into the project is in conformance with the plans and specifications.



Construction Contract Administration

FINAL INSPECTION / ACCEPTANCE

- When all work is complete, the Local Government's Project Supervisor and the Local Government Official responsible for the administration of the project shall conduct a final inspection of the project along with the CEI and with TDOT's participation, to determine the quality, completeness, acceptability, and ADA compliance of the work and to ensure that the authorized project was constructed in reasonable conformance with the contract requirements. Refer to Circular Letter 105.11-01 for additional information on resolving issues found during the inspection (Punch List items). Form 8-32 may be used as a template to document punch list items.
- All local projects with bridges greater than or equal to 20 feet long shall receive an initial inspection by TDOT bridge inspectors to develop a punch list prior to acceptance. TDOT Standard Specifications 105.15 and 108.06 provide the general guidance to determine the acceptance date of the project. Final as-built information for structures shall be submitted as outlined in Section 8.2.19.



Final Inspection/Acceptance

FINAL INSPECTION / ACCEPTANCE (CONT'D)

- Any work that has not been completed in accordance with the contract after the established contract completion date (or working days) shall be assessed liquidated damages (23 CFR 635.127).
- Documents relating to the Final Inspection shall be included in the End of Job folder. The Final Inspection Date shall be documented in the project diary. Also, the attendees at the inspection shall be listed and if applicable, the work that must be performed to complete the project (Punch List).



Final Inspection/Acceptance

COMPLETION NOTICE

- The Local Government Project Supervisor shall send to the LPDO, TDOT Operations Representative, TDOT Regional Materials and Tests Supervisor, contractor, and surety a Completion Notice (Form 8-33) indicating that all items of work have been inspected and are complete. The notice shall be sent as soon as possible after all items are accepted as complete. The completion date is the date time charges are stopped. This notice shall be sent by email to Local.Programs@tn.gov.



Completion Notice

Manager, TDOT Local Programs Office
JKP Building, Suite 600
505 Deaderick Street
Nashville, TN 37243-0341

RE: COMPLETION NOTICE

PIN:
County:
Federal Project No.:
Description:

State Project No.:
Contract No.:
Reference No.:

To Whom it May Concern:

The above project was inspected and accepted as complete on _____ by _____ representing the Tennessee Department of Transportation.

THE HISTORY OF THE PROJECT IS AS FOLLOWS:

Notice to Proceed Date:

Work Begin Date:

Substantial Work Complete Date:

Original Completion Date: ON/BEFORE

Adjusted Completion Date: ON/BEFORE

Actual Number of days used:

Contractor:

S.P. 108B:

Did contract have a Notice Of Coverage from TDEC?

No Yes

No Yes (If yes, a copy of the Notice Of Termination submitted to TDEC must be sent to Local Programs before sending a Completion Notice.)

If any exceptions, date completed:

Sincerely,

cc: Contract file
Regional Construction Engineer
Regional Materials & Tests Engineer
Regional Environmental Coordinator
Director, Material & Tests Division
Director, Small Business Development Office



Final Inspection/Acceptance

FULL SETTLEMENT / CLAIMS

- Full settlement shall be made in accordance with T.C.A. 54-05-122. The LG shall be required to provide the necessary notice in a newspaper of general circulation as stated in T.C.A. 54-05-122. The contractor shall also provide an affidavit (Form 8-34) as evidence that materials, labor, and payment comply with this statute.
- Any claims against the LG should be made in accordance with Sections 105.16 and 107.19 of TDOT Standard Specifications and 23 CFR 635.124.
- The Local Government will issue a Completion Notice to advertise the construction contract for claims. The LG shall have a request for the filing of claims published in an area press service (with the greatest coverage) for two consecutive weeks (one advertisement per week). The notices shall include a due date for claims that meets current T.C.A. guidance, currently at least 30 days from the last published date. The LG will mail copies of the request to the Prime Contractor, Surety Agent, and the Local Programs Development Office.



Affidavit Example



Local Government Guidelines Form 8-34
March 1, 2016

Contractor's Affidavit Pertaining to Labor and Materials

The undersigned contractor on Contract No. _____, Project No. _____, Reference No. _____, County _____, hereby certifies that all laborers, mechanics, apprentices, trainees, watchmen, and guards employed by him or by any subcontractor performing the work under the contract on the project have been paid wages at rates not less than those required by the contract provisions, and that the work performed by each such laborer, mechanic, apprentice, or trainee conformed to the classifications set forth in the contract or training program provisions applicable to the wage rate paid.

The undersigned contractor further certifies that all sums of money which have been due for labor and material used in the construction of this project, that all damages suffered on account of such construction, and that all claims for which we are held liable under the laws of Tennessee, with the exception of the outstanding claims now on file with the Tennessee Department of Transportation, the provisions of our contract and the terms of our bond, have been paid. In the event that any just claim is presented of which we do not now have knowledge, we agree to protect the State of Tennessee Department of Transportation by making at once the proper settlement of such claims.

CONTRACTOR

By _____
Title _____
Date _____

State of _____
County _____
Date _____

Personally appeared before me, a notary public for said county and state, on this date the above named person who, on behalf of the named contractor, makes oath that this affidavit is true to the best of his information, knowledge, and belief.

Notary Public

My Commission Expires



Full Settlement/Claims Example



2995 Sidco Drive
Nashville, TN
(615) 383-1113
(615) 386-8469 FAX
www.ssr-inc.com

February 24, 2011

TO: Rebecca Winn
The Leaf Chronicle
200 Commerce St.
Clarksville, TN 37040-0018

Dear Rebecca:

I am transmitting to you herewith a Notice which we wish to have published in the newspaper (s) for the indicated county (s) for two (2) consecutive weeks. This in accordance with the requirements of Tennessee Code Annotated Section 54-5-122.

NOTICE TO FURNISHERS OF LABOR AND MATERIALS

TO: McIntosh Construction Company, LLC
STATE PROJECT NO: 63LPLM-F3-021, 63LPLM-F3-034 and 63LPLM-F3-035
CONTRACT NO: Pin # 112765.00 COUNTY: Montgomery

The City of Clarksville is about to make final settlement with the contractor for construction of the above number projected. All persons wishing to file claims pursuant to Section 54-5-122, T.C.A. must file same with Jack Frazier, City of Clarksville Street Department, 199 Tenth St. Clarksville, TN 37040-6323, on or before 4/15/2011.

NOTE TO PUBLISHER: The above Notice is to be published on:
3/4/2011 & 3/11/2011.

Immediately after the second date of insertion of this Notice send one (1) copy of your newspaper bill and one (1) Affidavit of Publication, which includes a clipping of the advertisement, to me at the address above.

Sincerely,

David Donoho
Director of Transportation

cc: Clarksville Street Department
Bonding Agent
TDOT Local Programs
file

Contractor
TDOT Region 3 Construction Supervisor
Commissioner of Labor



Final Inspection/Acceptance

FINAL ESTIMATE AND SUMMARY CHANGE ORDER (CONT'D)

- Contract Finalization - Upon completion of the project, the quantities paid to date shall be compared to the documented final quantities. All differences shall be corrected on the Final Estimate (the presumed last progress estimate). A Summary Change Order must be prepared to adjust the contract amount to an amount that coincides with the final quantities. Provide a copy of this change order to the LPDO along with the End of Job Certificate.
- Explanations of Overruns/Underruns – All overruns/underruns shall be explained in accordance with Circular Letter 109.03-01. Explanations shall be attached to the Final Estimate and filed in the End of Job file.
- Determination of Time based on Quantity Increase – Circular Letter 108.07-01 provides additional detail on the applicability and process for increasing contract working time based on the increase in quantities of the project.



Final Inspection/Acceptance

FINAL ESTIMATE AND SUMMARY CHANGE ORDER (CONT'D)

- After the records have been checked by the LG, a document should be sent to the contractor displaying a comparison of the Original Quantities to the Final Quantities. Now is the appropriate time to attach a request to the Contractor for CC3s (if applicable) and any deficient material certifications required to pay the Final Estimate.
- Certification Regarding Money Paid to DBEs (CC-3) - As soon as possible after the project is completed; the contractor shall submit a CC-3 form (Form 8-35) for each DBE on the project to the Local Government. The CC-3 form certifies the amount of monies paid the DBE for this project. The Final Estimate shall not be processed until all the CC-3s have been received and are on file in the project records. Each original CC-3 shall be filed in the End of Job file. Once the contractor submits the CC-3's, send a copy to the TDOT Civil Rights Office and the Local Programs Development Office via their web addresses (tdot.dbe.program@tn.gov and Local.Programs@tn.gov).



Summary Change Order Example

CERTIFICATE OF THE CONTRACTOR OR HIS DULY AUTHORIZED REPRESENTATIVE			
<p>Project: ARRA - Multimodal Intersection Improvements</p> <p>To the best of my knowledge and belief, I certify that all items, units, quantities, and prices of work and materials shown on the face of Sheet 2 of this Periodical Estimate are correct and all work has been performed and materials supplied in full accordance with the terms and conditions of the corresponding construction contract documents between the undersigned as Contractor and the Metropolitan Department of Public Works of the City of Nashville, as Owner, Dated: March 16, 2010, and all authorized changes thereto; that the following is a true and correct statement of the contract amount up to and including the last day of the last day of the period covered by this estimate and that no part of the "Total Amount Due" as been received:</p> <p style="text-align: center;">State Project No. 19-LPLM-F3-051090209 Fed. Project No. ARRA-STP-M-9312(93) TDOT Pin No. 112917 Metro Contract No. 90209 Job No. Invoice No. 7</p>			
Original Contract Amount	\$649,055.00		
Plus/Minus Approved Change Orders		(a) Amount Earned To Date	\$698,373.66
No. 1 Dated: 2-10-11	\$ 30,672.00	Stored Materials	\$0.00
No. Dated:		Total Amount Earned	\$698,373.66
No. Dated:		(b) Retainage	\$0.00
No. Dated:		Total Retainage	\$0.00
No. Dated:		(c) Total Due Less Retainage	\$698,373.66
Revised Contract Amount	\$679,727.00	(d) Less Total Previously Approved	\$610,635.87
Contract Amount To Date:	\$698,373.66	(e) Liquidated Damages	\$0.00
		(f) Bonus for early Completion	\$0.00
		(h) Total Amount Due This Estimate	\$67,737.79
<p>I further certify that all claims outstanding as of this date against the undersigned as Contractor of labor, materials, and expendable equipment employed in the performance of said contract up to this date have been paid in full in accordance with the requirements of said contract, PROJECT NAME: ARRA - Multimodal Intersection Improvements Estimate No: 7</p> <p>CONTRACTOR: S & W Contracting Company, Inc. BY: <i>[Signature]</i> Date: 6/29/11</p>			
ENGINEER'S CERTIFICATE FOR PAYMENT			
<p>I certify that I have verified this Periodical Estimate and that to the best of my knowledge and belief it is true and correct statement of work performed and materials supplied under the Contract and that the Contractor's certified statement of his account and the amount due him is correct and just and that all work and materials included in this periodical estimate have been performed in full accordance with the terms and conditions of the corresponding construction contract documents and authorized changes thereto.</p> <p>Owner: Metropolitan Department of Public Works</p> <p>Name: <i>[Signature]</i> By: SSR, Inc. Date: 6/28/11</p>			
OWNERS RECOMMENDATION FOR PAYMENT			
<p>Approved and Payment Recommended</p> <p>Owner: Metropolitan Department of Public Works</p> <p>By: _____ Title: _____ Date: _____</p>			



Summary Change Order Example

ARRA - Multimodal Traffic Signal Enhancement (ITB 525281CY - Project Number 2008-T-02) Davidson County, Nashville, TN
 Payment Summary No. 7, Pay Period Ending 6/30/11, State Project No. 19LPLM-FS-051090206, Pin # 112917

SSR Project numbers: 106A0250, Contractor: S&W

Item No.	Description	Unit	Est. Quan.	Unit Price	Current Quantity Used	Previous Quantity Used	Total Quantity Used	Current Cost	Previous Cost	Cost to Date	Total Estimated Contract Cost
106-07	LIQUIDATED DAMAGES	DAY	0	\$ 750.00	-3.0	0.00	-3.00	\$ (2,250.00)	\$ -	\$ (2,250.00)	\$ -
202-03	REMOVAL OF RIGID PAVEMENT, SIDEWALK, ETC.	SY	60.5	\$ 42.00	27.89	217.26	245.15	\$ 1,027.60	\$ 9,124.50	\$ 10,232.10	\$ 2,541.00
201-01	CONCRETE SIDEWALK (4")	SF	665	\$ 5.28	38.99	645.30	684.29	\$ 205.36	\$ 3,407.18	\$ 3,612.54	\$ 3,511.30
201-02	CONCRETE HANDICAP RAMP (RETROFIT)	SF	75	\$ 23.59	368.78	0.00	368.78	\$ 7,282.25	\$ -	\$ 7,282.25	\$ 1,789.25
201-02	CONCRETE HANDICAP RAMP	SF	810	\$ 16.87	89.29	1308.89	1398.18	\$ 1,602.12	\$ 24,828.87	\$ 26,430.99	\$ 15,385.70
202-02	CONCRETE CURB	LF	135	\$ 29.87	18.39	0.00	18.39	\$ 544.45	\$ -	\$ 544.45	\$ 4,045.50
217-01	MOBILIZATION	EACH	6	\$ 3,000.00	0.00	6.00	6.00	\$ -	\$ 18,000.00	\$ 18,000.00	\$ 18,000.00
212-01	TRAFFIC CONTROL	LS	6	\$ 4,000.00	0.00	6.00	6.00	\$ -	\$ 24,000.00	\$ 24,000.00	\$ 24,000.00
213-11-01	1/2 SECTION STEEL POSTS	LB	40	\$ 2.31	40.00	40.00	80.00	\$ 184.40	\$ 92.40	\$ 276.80	\$ 92.40
213-16-20	SGNS (STREET NAME SGNS - INSTALL ONLY)	EACH	27	\$ 50.00	0.00	27.00	27.00	\$ -	\$ 1,350.00	\$ 1,350.00	\$ 1,350.00
213-16-21	SGNS (R6-2L)	EACH	1	\$ 250.00	2.00	0.00	2.00	\$ 500.00	\$ -	\$ 500.00	\$ 250.00
213-16-22	SGNS (R6-2R)	EACH	1	\$ 250.00	1.00	0.00	1.00	\$ 250.00	\$ -	\$ 250.00	\$ 250.00
213-16-23	SGNS (R3-1)	EACH	1	\$ 250.00	1.00	1.00	2.00	\$ -	\$ 250.00	\$ 250.00	\$ 250.00
213-16-24	SGNS (R3-2)	EACH	3	\$ 250.00	3.00	3.00	6.00	\$ -	\$ 750.00	\$ 750.00	\$ 750.00
213-16-25	SGNS (R10-1)	EACH	2	\$ 250.00	2.00	2.00	4.00	\$ -	\$ 500.00	\$ 500.00	\$ 500.00
213-16-29	SGNS (R10-12)	EACH	1	\$ 250.00	0.00	1.00	1.00	\$ -	\$ 250.00	\$ 250.00	\$ 250.00
216-02-01	PLASTIC PAVEMENT MARKING (4" LINE)	LM	0.07	\$ 22,000.00	0.10	0.10	0.20	\$ -	\$ 2,200.00	\$ 2,200.00	\$ 1,540.00
216-02-05	PLASTIC PAVEMENT MARKING (STOP LINE)	LF	695	\$ 27.50	729.99	720.00	1,450.00	\$ -	\$ 19,800.00	\$ 19,800.00	\$ 19,112.50
216-02-06	PLASTIC PAVEMENT MARKING (TURN LANE ARROW)	EACH	2	\$ 300.00	2.00	2.00	4.00	\$ -	\$ 600.00	\$ 600.00	\$ 600.00
216-02-08	PLASTIC PAVEMENT MARKING (CROSSWALK)	LF	1,250	\$ 49.50	1326.00	1326.00	2,652.00	\$ -	\$ 85,637.00	\$ 85,637.00	\$ 81,875.00
216-06-01	REMOVAL OF PAVEMENT MARKING (LINE)	LF	615	\$ 2.75	257.00	257.00	514.00	\$ -	\$ 708.75	\$ 708.75	\$ 1,691.25
216-06-03	REMOVAL OF PAVEMENT MARKING (CROSSWALK)	LF	275	\$ 49.50	228.00	228.00	456.00	\$ -	\$ 11,187.00	\$ 11,187.00	\$ 13,612.50
216-06-05	REMOVAL OF PAVEMENT MARKING (STOP LINE)	LF	487	\$ 27.50	388.00	388.00	776.00	\$ -	\$ 10,645.00	\$ 10,645.00	\$ 13,382.50
230-01-02	REMOVAL OF SIGNAL EQUIPMENT	EACH	6	\$ 600.00	5.8	1.00	6.80	\$ 3,000.00	\$ 850.00	\$ 3,850.00	\$ 3,600.00
230-02-07	SIGNAL HEAD ASSEMBLY (150)	EACH	47	\$ 695.00	47.00	47.00	94.00	\$ -	\$ 32,865.00	\$ 32,865.00	\$ 32,865.00
230-02-10	SIGNAL HEAD ASSEMBLY (150 AZ)	EACH	2	\$ 588.00	0.00	2.00	2.00	\$ -	\$ 1,186.00	\$ 1,186.00	\$ 1,186.00
230-02-16	SIGNAL HEAD ASSEMBLY (150 AZH)	EACH	7	\$ 1,057.00	7.00	7.00	14.00	\$ -	\$ 7,399.00	\$ 7,399.00	\$ 7,399.00
230-03-12	AERIAL SPLICE ENCLOSURE	EACH	1	\$ 850.00	3.8	0.00	3.80	\$ 1,950.00	\$ -	\$ 1,950.00	\$ 850.00
230-03-21	INSTALL PULL BOX (TYPE B)	EACH	45	\$ 300.00	38.00	38.00	76.00	\$ -	\$ 11,400.00	\$ 11,400.00	\$ 13,500.00
230-05-01	ELECTRICAL SERVICE CONNECTION	EACH	6	\$ 1,500.00	5.8	1.00	6.80	\$ 7,500.00	\$ 1,500.00	\$ 9,000.00	\$ 9,000.00
230-05-03	SERVICE CABLE (2 CONDUCTOR, 86 AWG)	LF	1,610	\$ 1.85	1939.0	0.00	1939.00	\$ 3,496.50	\$ -	\$ 3,496.50	\$ 3,348.50
230-06-03	SGNAL CABLE - 7 CONDUCTOR	LF	7925	\$ 1.15	8400.00	8400.00	16,800.00	\$ -	\$ 9,600.00	\$ 9,600.00	\$ 9,679.25
230-06-05	SGNAL CABLE - 12 CONDUCTOR	LF	4545	\$ 1.90	4100.00	4100.00	8,200.00	\$ -	\$ 7,790.00	\$ 7,790.00	\$ 9,205.50
230-06-10	SGNAL CABLE (2 CONDUCTOR SHIELDED)	LF	445	\$ 1.00	660.0	0.00	660.00	\$ 660.00	\$ -	\$ 660.00	\$ 445.00
230-06-30	INTERCONNECT CABLE (COPPER-TWISTED PAIR)	LF	570	\$ 2.10	156.0	1662.00	1818.00	\$ 315.00	\$ 3,490.20	\$ 3,805.20	\$ 2,037.00
230-11-01	STEEL CONDUIT (RIBBON ASSEMBLY)	EACH	13	\$ 300.00	14.00	14.00	28.00	\$ -	\$ 4,200.00	\$ 4,200.00	\$ 3,000.00
230-12-02	CONDUIT (DIAMETER (PVC))	LF	8796	\$ 4.00	8788.00	8788.00	17,576.00	\$ -	\$ 35,152.00	\$ 35,152.00	\$ 35,160.00
230-12-06	CONDUIT (DIAMETER (RGS))	LF	10	\$ 15.00	30.00	30.00	60.00	\$ -	\$ 450.00	\$ 450.00	\$ 150.00
230-13-02	VEHICLE DETECTOR (VIDEO)	EACH	2	\$ 5,535.00	2.00	2.00	4.00	\$ -	\$ 11,070.00	\$ 11,070.00	\$ 11,070.00
230-13-06	VEHICLE DETECTOR (2-CHANNEL, RACK MOUNT)	EACH	23	\$ 181.00	21.0	2.00	23.00	\$ 3,801.00	\$ 382.00	\$ 4,183.00	\$ 4,183.00
230-14-01	SHIELDED DETECTOR CABLE	LF	9115	\$ 0.80	8960.00	8960.00	17,920.00	\$ -	\$ 7,168.00	\$ 7,168.00	\$ 7,382.00
230-14-02	RAW SLOT	LF	3915	\$ 3.50	2787.8	1180.00	3967.80	\$ 8,684.50	\$ 4,130.00	\$ 12,814.50	\$ 13,702.50
230-14-03	LOOP WIRE	LF	6000	\$ 0.50	6256.8	2504.00	8760.80	\$ 3,028.00	\$ 1,252.00	\$ 4,280.00	\$ 4,000.00
230-15-32	CABINET (EIGHT PHASE BASE MOUNTED)	EACH	6	\$ 10,280.00	6.00	6.00	12.00	\$ -	\$ 81,680.00	\$ 81,680.00	\$ 81,560.00
230-16-02	EIGHT PHASE ACTUATED CONTROLLER	EACH	6	\$ 2,667.00	5.8	1.00	6.80	\$ 13,335.00	\$ 2,667.00	\$ 16,002.00	\$ 16,002.00
230-21-01	WOOD POLE (SIGNAL SUPPORT) CLEAR 3.30' LENGTH	EACH	1	\$ 1,000.00	1.00	1.00	2.00	\$ -	\$ 1,000.00	\$ 1,000.00	\$ 1,000.00
230-23-30	PEDESTAL POLE (10 FT.)	EACH	11	\$ 1,200.00	1.8	11.00	12.80	\$ 1,200.00	\$ 13,200.00	\$ 14,400.00	\$ 13,200.00



Summary Change Order Example

ARRA - Multimodal Traffic Signal Enhancement (ITB 62528CY - Project Number 2009-T-02) Davidson County, Nashville, TN
 Payment Summary No. 7, Pay Period Ending 6/30/11, State Project No. 18LPLM-F3-051090206, Pin # 112817

GBR Project numbers: 106A020, Contractor: GBW

Item No.	Description	Unit	Est. Quant.	Unit Price	Current Quantity Used	Previous Quantity Used	Total Quantity Used	Current Cost	Previous Cost	Cost to Date	Total Estimated Contract Cost
750-23.48	CANTILEVER SIGNAL SUPPORT (1 ARM @ 20')	EACH	1	\$ 8,995.00	1.00	1.00	1.00	\$ -	\$ 8,995.00	\$ 8,995.00	\$ 8,995.00
750-23.64	CANTILEVER SIGNAL SUPPORT (1 ARM @ 35')	EACH	2	\$ 7,207.00	2.00	2.00	2.00	\$ -	\$ 14,414.00	\$ 14,414.00	\$ 14,414.00
750-23.72	CANTILEVER SIGNAL SUPPORT (1 ARM @ 35')	EACH	4	\$ 8,017.00	4.00	4.00	4.00	\$ -	\$ 32,068.00	\$ 32,068.00	\$ 32,068.00
750-23.77	CANTILEVER SIGNAL SUPPORT (2 @ 35' & 35')	EACH	1	\$ 10,183.00	1.00	1.00	1.00	\$ -	\$ 10,183.00	\$ 10,183.00	\$ 10,183.00
750-23.78	CANTILEVER SIGNAL SUPPORT (2 @ 35' & 40')	EACH	1	\$ 7,799.00	1.00	1.00	1.00	\$ -	\$ 7,799.00	\$ 7,799.00	\$ 7,799.00
750-23.80	CANTILEVER SIGNAL SUPPORT (1 ARM @ 40')	EACH	2	\$ 7,937.00	2.00	2.00	2.00	\$ -	\$ 15,874.00	\$ 15,874.00	\$ 15,874.00
750-23.86	CANTILEVER SIGNAL SUPPORT (2 @ 40' & 40')	EACH	1	\$ 11,013.00	1.00	1.00	1.00	\$ -	\$ 11,013.00	\$ 11,013.00	\$ 11,013.00
750-23.88	CANTILEVER SIGNAL SUPPORT (1 ARM @ 45')	EACH	1	\$ 7,799.00	1.00	1.00	1.00	\$ -	\$ 7,799.00	\$ 7,799.00	\$ 7,799.00
750-23.95	CANTILEVER SIGNAL SUPPORT (1 ARM @ 50')	EACH	3	\$ 7,937.00	3.00	3.00	3.00	\$ -	\$ 23,811.00	\$ 23,811.00	\$ 23,811.00
750-23.97	CANTILEVER SIGNAL SUPPORT (2 @ 35' & 55')	EACH	1	\$ 11,013.00	1.00	1.00	1.00	\$ -	\$ 11,013.00	\$ 11,013.00	\$ 11,013.00
750-23.98	CANTILEVER SIGNAL SUPPORT (1 ARM @ 60')	EACH	2	\$ 8,846.00	2.00	2.00	2.00	\$ -	\$ 17,692.00	\$ 17,692.00	\$ 17,692.00
750-23.99	CANTILEVER SIGNAL SUPPORT (2 @ 45' & 50')	EACH	1	\$ 9,887.00	1.00	1.00	1.00	\$ -	\$ 9,887.00	\$ 9,887.00	\$ 9,887.00
750-26.02	PEDESTRIAN PUSHBUTTON WITH 12" SIGN	EACH	28	\$ 126.00	28.00	28.00	28.00	\$ 128.00	\$ 2,772.00	\$ 2,908.00	\$ 3,528.00
750-26.05	COUNTDOWN PEDESTRIAN SIGNAL	EACH	48	\$ 598.00	48.00	48.00	48.00	\$ -	\$ 27,508.00	\$ 27,508.00	\$ 28,704.00
CHANGE ORDER ITEMS SUBTOTAL											
								\$ 57,497.79	\$ 816,835.87	\$ 888,433.66	\$ 849,695.00
STORIED MATERIALS											
ADDITIONAL WORK (REMOVAL OF EXISTING ANTENNA AND CABLE FOR BUS COMMUNICATION) 124-04.30 INSTALL NEW PRE-EMPT SYSTEM @ GALLATIN ROAD & LITTON AVENUE 750-35.01 ANTENNA (INSTALL BRACKETS AND ANTENNAS USING EXISTING HARDWARE) 750-35.12 RF DATA SYSTEM CABLE (OPTICOM GPS SYSTEM CABLE) 750-35.21											
CHANGE ORDER ITEMS SUBTOTAL											
								\$ 30,240.00	\$ -	\$ 30,240.00	\$ 30,240.00
STORIED MATERIALS SUBTOTAL											
								\$ -	\$ -	\$ -	\$ -
Notes: The Estimated Cost Changes by Price Flucts only on include items with a price in the item description column. 750-23.48 CANTILEVER SIGNAL SUPPORT (1 ARM @ 20') a 0.00 \$ - \$ - \$ - 750-23.64 CANTILEVER SIGNAL SUPPORT (1 ARM @ 35') a 0.00 \$ - \$ - \$ - 750-23.72 CANTILEVER SIGNAL SUPPORT (1 ARM @ 35') a 0.00 \$ - \$ - \$ - 750-23.77 CANTILEVER SIGNAL SUPPORT (2 @ 35' & 35') a 0.00 \$ - \$ - \$ - 750-23.78 CANTILEVER SIGNAL SUPPORT (2 @ 35' & 40') a 0.00 \$ - \$ - \$ - 750-23.80 CANTILEVER SIGNAL SUPPORT (1 ARM @ 40') a 0.00 \$ - \$ - \$ - 750-23.86 CANTILEVER SIGNAL SUPPORT (2 @ 40' & 40') a 0.00 \$ - \$ - \$ - 750-23.88 CANTILEVER SIGNAL SUPPORT (1 ARM @ 45') a 0.00 \$ - \$ - \$ - 750-23.97 CANTILEVER SIGNAL SUPPORT (2 @ 35' & 55') a 0.00 \$ - \$ - \$ - 750-23.98 CANTILEVER SIGNAL SUPPORT (1 ARM @ 60') a 0.00 \$ - \$ - \$ - 750-23.99 CANTILEVER SIGNAL SUPPORT (2 @ 45' & 50') a 0.00 \$ - \$ - \$ - 750-26.02 CANTILEVER SIGNAL SUPPORT (1 ARM @ 50') a 0.00 \$ - \$ - \$ - 750-26.05 CANTILEVER SIGNAL SUPPORT (2 @ 40' & 50') a 0.00 \$ - \$ - \$ - STORIED MATERIALS SUBTOTAL \$ - \$ - \$ - \$ - Total Completed & Stored \$ 87,737.79 \$ 816,835.87 \$ 928,673.66 \$ 879,727.00 Retainage Less 9% Current Cost / Less 9% Previous Cost / Less 9% Cost to Date \$ - \$ - \$ - \$ - Total of Previous Payments / Cost to Date Minus Retainage \$ 816,835.87 \$ 928,673.66 Current Payment Due \$ 87,737.79											



CC-3 Example

Local Government Guidelines Form 8-35
March 1, 2016

Certification Regarding Money Paid to Disadvantaged Business Enterprises

I, _____, certify that to the best of my knowledge, _____
Name of Owner or Authorized Representative Name of DBE

has been paid in full, per the amount of the contract for actual work performed on:

Contract No. _____ County _____, as of _____

I further certify that I am duly authorized to make this certification on behalf of the named contractor.

DISADVANTAGED BUSINESS ENTERPRISE	AMOUNT
Firm Name	Original DBE Subcontract \$
	Original DBE Subcontract Date

PRIME CONTRACTOR: _____

SIGNATURE: _____ Paid to date

TITLE: _____ Est. final pmt.

DATE: _____ TOTAL

I, _____, certify that to the best of my knowledge, _____
Name of DBE Owner or Authorized Representative Name of Contractor

has paid the named DBE, in full, per the amount of the contract for actual work performed on:

Contract No. _____ County _____, as of _____

I further certify that I am duly authorized to make this certification on behalf of the named contractor.

DISADVANTAGED BUSINESS ENTERPRISE	AMOUNT
Firm Name	Original DBE Subcontract \$
	Original DBE Subcontract Date

SIGNATURE: _____ Paid to date

TITLE: _____ Est. final pmt.

DATE: _____ TOTAL



Final Inspection/Acceptance

END OF JOB CERTIFICATE

- The End of Job Certificate (Form 8-36) is completed and signed by the Local Government Project Supervisor upon the approval that the records have been checked and are a true representation of the work that was performed, the item final quantities are correct, and the final quantities are covered by the required material certifications. The Certificate shall be placed in the End of Job file of the Project Records. **The End of Job Certificate shall be submitted to the Local Programs Development Office.** For projects with railroad involvement, once construction is complete, the LG shall submit a Railroad Completion Notice (Form 8-15). This submission will close out the project at TDOT. No requests for reimbursement may be submitted after the End of Job Certificate is submitted. Ensure that all requests for reimbursement have been submitted and processed prior to submitting the certificate to TDOT.



Final Inspection/Acceptance

END OF JOB CERTIFICATE (CONT'D)

An “End of Job” folder shall be created to retain documents that pertain to events that occur at the completion of the project. The documents listed in this section shall be kept in the “End of Job” file of the project records.

- Final Inspection Documents
- Final Progress Estimate with Overrun/Underrun Explanations
- Completion Notice
- Advertisement for Claims Letter
- Material Certification Letter
- FHWA 1391 Reports
- CC-3 Documentation
- Prompt Payment Forms
- End of Job Certificate



End of Job Certificate Example



Local Government Guidelines Form 8-36
March 1, 2016

END of JOB CERTIFICATE

Project Title/Termini: _____ PIN: _____
Owner: _____ State Project No.: _____
Address: _____ Federal Project No.: _____
Date Prepared: _____ Contract No.: _____
County: _____

The foregoing record, as noted on the various forms and for the various items, is a true representation of the work done by _____, the contractor on the above listed Contract and that any part of the record which has been copied from the field books is a true copy of the notes, field notes mentioned above being submitted.

Signed: _____
Project Supervisor



Final Inspection/Acceptance

RETENTION OF RECORDS

- The Local Government shall maintain the project records as follows:
 - The Project Records shall be organized, indexed, and available for review on an as needed basis. An index shall be placed in the End of Job Folder. Boxes shall be numbered consecutively and labeled by Contract Number or Project Number, and County.
 - **All documents shall be kept for a minimum of seven (7) years after everything is closed and finalized.** These documents include, but are not limited to copies of the contract, starting notice/work order, correspondence, field books, diaries, material tickets, test reports, progress estimates, final record books, as-built drawings and specifications, contractor payrolls and certifications, field notes, and inspection reports, notice to contractors, estimates, correspondence for advertising and receiving bids, letting advertisements, bid tabulations, bid books (proposal contracts) completed by the contractor, project specifications and provisions, job estimate, contract and bond certificates



Final Inspection/Acceptance

MAINTENANCE OF FACILITY

- The Local Government shall be responsible for the future maintenance of all facilities constructed under the local programs agreement with TDOT that utilize federal or state funds (23 CFR 1.27).



Questions?